

# **For Reference**

---

**NOT TO BE TAKEN FROM THIS ROOM**

Ex libris  
UNIVERSITATIS  
ALBERTAEENSIS













THE UNIVERSITY OF ALBERTA

DOUBLEGANGER: THE HERO AND HIS DOUBLE

A PHENOMENOLOGICAL STUDY.

by



K. G. J. HADERLEIN

A THESIS

SUBMITTED TO THE FACULTY OF GRADUATE STUDIES

IN PARTIAL FULFILMENT OF THE REQUIREMENTS FOR THE DEGREE

OF DOCTOR OF PHILOSOPHY

DEPARTMENT OF COMPARATIVE LITERATURE

EDMONTON, ALBERTA

FALL 1971



Thesis  
1971 F  
27 D

THE UNIVERSITY OF ALBERTA

FACULTY OF GRADUATE STUDIES

The undersigned certify that they have read,  
and recommend to the Faculty of Graduate Studies for  
acceptance, a thesis entitled Doubleganger: The Hero  
and His Double, a Phenomenological Study submitted by  
K. G. J. Haderlein in partial fulfilment of the require-  
ments for the degree of Doctor of Philosophy.



## ABSTRACT

The present study represents an analysis of the phenomenon of doubleganger. It attempts to describe in some order the various possible literary symptoms of a hero's double existence, and to analyse systematically those phenomena which are concomitant with doubleganger. In reviewing a number of the more important contributions which have hitherto dealt with doubleganger in some form it can be observed that a universal description dealing with all aspects of the phenomenon has so far not been achieved. It is my contention that the principal reason for the failure to accomplish a universal description which would account for all potential and possible features and functions of double existence is what I have termed a "bias of perspective." This bias indicates the restricted area of comprehension and interpretation by which a topic is necessarily circumscribed when it is studied from the point of view of a certain "discipline" or a combination of disciplines. A phenomenological study did not seem to impose such restriction, because its aim is to give a descriptive, not an interpretive account of the phenomena. It was therefore decided to forgo the impediment of "discipline" and thus to reduce the bias of perspective towards the phenomenon of doubleganger.

The task of this analysis is not to interpret literature but by attempting a systematic understanding of certain groups of phenomena in literary reality to provide means with which literature can be interpreted. Our aim is not to prove theorems but





to demonstrate the ways in which certain phenomenological principles function.

The analysis of doubleganger begins with simple representations of hero and double and proceeds gradually to the more complex forms of double selfs. During each stage of investigation an attempt is made to obtain a description of doubleganger which might be both universally valid and universally applicable. The individual elements of the phenomenon are grouped in spheres, in such a way that the total can be defined in terms of certain groups of concepts or wirkungskreise with which in turn a number of functional properties can be associated. Five such spheres are established: reflection, projection, accompanying functions, appearance and conflict of doubleganger. To achieve greater accuracy in the analysis of each of these five areas, reflection and projection are treated strictly as states of existence, while appearance and conflict are discussed as processes of existence, of doubleganger. In this way, each of the five areas is understood as representing a particular condition or theme within the limits of which it is possible to isolate particular characteristics and present them in the form of phenomenological groups.

It is concluded that the sum of all particulars which were thus gathered represents the total phenomenological potential of doubleganger existence in literary reality and that all phenomenological forces and elements which are essential to the confrontation of hero and double, as well as to the coexistence and conflict of doubleganger, have been accounted for and have been presented in a systematic description.



## ACKNOWLEDGEMENTS

I wish here to acknowledge my considerable debt to those who have assisted me in the preparation of this thesis. Dr. Henry Kreisel has helped me to discover many cases of doubleganger, particularly in contemporary American Literature. He has been most patient in reading several precursors of this manuscript. Professor M. V. Dimić has contributed many important suggestions for the final revision of this thesis. His critical acuity has given me a keener sense of perspective in the execution of my work. I am deeply grateful to Dr. C. H. Moore for many hours spent in reading earlier versions of this thesis, and for his pertinent advice in many vital instances. I especially thank Dr. A. Scott who as the Chairman of a Supervisory Committee has been faced with an unusually complicated and strenuous task, and whose telling criticisms have been tempered with unfailing good humour and kindness.

Many librarians have assisted me in solving numerous research problems. I am particularly indebted to the staff of the Murray Memorial Library at the University of Saskatchewan, Saskatoon, and of the Cameron Library at The University of Alberta for their prompt and judicious assistance.

I am also indebted to the Faculty of Graduate Studies, The University of Alberta. In 1962-63 and 1963-64 I was granted graduate





## ACKNOWLEDGEMENTS

I wish here to acknowledge my considerable debt to those who have assisted me in the preparation of this thesis. Dr. Henry Kreisel has helped me to discover many cases of doubleganger, particularly in contemporary American Literature. He has been most patient in reading several precursors of this manuscript. Professor M. V. Dimić has contributed many important suggestions for the final revision of this thesis. His critical acuity has given me a keener sense of perspective in the execution of my work. I am deeply grateful to Dr. C. H. Moore for many hours spent in reading earlier versions of this thesis, and for his pertinent advice in many vital instances. I especially thank Dr. A. Scott who as the Chairman of a Supervisory Committee has been faced with an unusually complicated and strenuous task, and whose telling criticisms have been tempered with unfailing good humour and kindness.

Many librarians have assisted me in solving numerous research problems. I am particularly indebted to the staff of the Murray Memorial Library at the University of Saskatchewan, Saskatoon, and of the Cameron Library at The University of Alberta for their prompt and judicious assistance.

I am also indebted to the Faculty of Graduate Studies, The University of Alberta. In 1962-63 and 1963-64 I was granted graduate



fellowships which made it possible for me to pursue, undisturbed by teaching obligations, the extensive research necessary for the foundation of this thesis.

Last, but not least, I thank my wife. By now, she has almost succeeded in persuading me that writing a thesis can become a way of life.





## CONTENTS

INTRODUCTION	p. 1
I. MEDIA OF THE SELF'S REFLECTION: PROPERTIES OF THE DOUBLE.	p. 39
II. MEDIA OF THE SELF'S PROJECTION: QUALITIES OF THE DOUBLE.	p. 79
III. ACCOMPANYING FUNCTIONS IN THE PROCESS OF DOUBLE EXISTENCE.	p. 116
IV. MEDIA OF APPEARANCE: JOINT PROPERTIES OF DOUBLE- GANGER.	p. 158
V. MEDIA OF CONFLICT: JOINT QUALITIES OF DOUBLEGANGER	p. 207
CONCLUSION	p. 262
BIBLIOGRAPHY	p. 275



## INTRODUCTION

The purpose of this study is twofold: first, to observe and to describe in some order the various possible literary symptoms of a hero's double existence, and second, to analyse systematically those phenomena which are concomitant with doubleganger.

The title introduces three termini technici, which partly because of their intended universality and partly because of their seemingly unorthodox application in the following, will require some immediate elucidation.

The title indicates that the word "doubleganger" is being used to denote a plural of two, not a singular, and it is the intention throughout this study to refer to the singular halves of doubleganger as "hero" and "double." The use of these terms in this context will differ in various degrees from their conventional



meaning and application. Therefore, an attempt at definitions seems appropriate at this point.

Albert J. Guerard, in his publication Stories of the Double, complains in the introduction that "the word double is embarrassingly vague, as used in literary criticism."<sup>1</sup> The reason for this vagueness is largely that the concept has always been treated as an independent and autonomous unit, and as such has been described as some kind of counterpart of a literary hero or self. The confusion arises when certain criteria of identity must be established by which one can determine whether or not a literary personality is the "double" of another literary personality. In general, this has been done by pointing to similar features in both personalities and thus indicating that the "second" personality is the "double" because he is similar in this and that respect. The vagueness results because there are no common denominators for the magnitude of such similarities, or the quality and quantity of such features, and because the word "double" is applied, almost without exception, with reference to the "second" personality and his traits.

In a way, Albert J. Guerard adds to this vagueness when he applies the word "double" in the plural:

We may . . . say that Pyotr Verkhovensky is a double for Stavrogin, or that the two are doubles for each other, since an obscure but profound relationship exists between them. Is Pyotr Mephistopheles for Stavrogin's Satan or vice-versa? At times they seem part of a single Byronic personality.<sup>2</sup>





The word "double," as applied in the singular in the above passage, is clearly different in meaning from the singular of "doubles" in the same sentence. In the first case only Pyotr is a double. In the second case, Pyotr is a double insofar as Stavrogin is a double. But this new use of "double" in the plural can help to remedy the vagueness of the term. "Doubles" means an inseparable pair.

"Double" means an individual half of such a pair. It is obvious in spite of this paradox that the other individual half of this inseparable pair cannot also be "the double" at the same instant. Neither half can therefore be looked at without immediate reference to both the entire pair and the other half. The double cannot be described or defined "in his own right." The double is subject to a dualism of two descriptions: 1) he is part of a pair of "doubles" who are one personality; 2) he is the "other half" of two individual halves who are one pair.

The use of "doubles" to designate one such pair is unfortunate because it causes confusion if one wants to speak about "doubles" in the sense of several individual halves of different pairs. It is for this reason that the Anglicized form of doubleganger was introduced in this analysis. The word is to be understood as a plural of two only, in the sense in which Jean Paul, its creator, applies it in Komischer Anhang zum Titan.<sup>3</sup> Here, Die Doppeltgänger are Koppelzwillinge, Jean Paul's term for a pair of Siamese Twins some time before the birth of Chang and Eng in May 1811. Elsewhere in Jean Paul's work we find also Doppelgänger.<sup>4</sup> The loan translation of double-goer or double-ganger (omitting the umlaut but presumably pronouncing "--gänger") are not infrequently used in nineteenth century English.<sup>5</sup> Contemporary American writers





continue to use the latter form but have dropped the hyphen.<sup>6</sup> Our spelling of the word follows their example.

Henceforth, the individual halves of such doubleganger will be consistently referred to as "hero" and "double," or "self" and the "Other One." The term hero in this connection is to be thought of as void of any immediate literary-critical implication, and it must be dissociated from "heroic." In this context, "hero" designates a literary personality capable of appearing in two. A dragon attacking his image in a mirror is in this sense technically a "hero," and can as such be compared with, say, Narcissus languishing at the spring. The word "protagonist" would not be more useful or neutral than "hero," particularly because of complications arising from the "antagonist's" identity with the protagonist. This is also true to some extent for the use of "self" instead of "hero," as will be shown more extensively in chapter II.

The word doubleganger designates two things. Firstly, it refers to any particular pair of hero and double in written or printed form; secondly, it stands for the literary phenomenon itself. It is the object of this study to analyse the mechanics of this phenomenon. To do so is not entirely a literary critical or a literary historical task, nor can it be exclusively the subject of psychoanalysis or psychogenetics. The intended form of this analysis is that of a phenomenological investigation. A phenomenological approach in literary studies should be guided by two essential criteria, namely, one, that phenomenological statements are descriptive; and two, that phenomenological statements describe



phenomena. A purely descriptive method is admittedly an ideal,<sup>5</sup> and numerous difficulties stand in the way of its attainment. It is the aim of description to give an account of all the pertinent facts; it cannot be an account of all the facts, because the facts are infinite in number. Husserl's most acute problem in Logische Untersuchungen<sup>6a</sup> was to reconcile intuition with the observation of facts, a problem which looms large in literary studies employing a phenomenological method. Prominent examples are Max Scheler's essays which deal with phenomena in literature,<sup>6b</sup> and several studies in literary criticism and philosophy by Roman Ingarden.<sup>6c</sup> Such a phenomenological investigation, apart from posing a number of problems with which the literary historian is not immediately familiar, necessitates a certain amount of disregard for literary-aesthetic standards and literary-critical conventions. This must be stated quite firmly at the outset of this undertaking.

This writer is aware of his rather precarious position in his approach in that he does not share the conventional scholarly view of the literary historian or the literary critic yet has to subject his results to the judgement of such views. He is aware that in not following orthodox methods of investigation he not only enjoys greater freedom of movement but is also subject to severe limitations. The most prominent of these limitations is that this analysis constitutes a series of observations of certain phenomena in written accounts and documents in print not interpretations of episodes in literature.

The task of this analysis is not to interpret literature but by attempting a systematic understanding of certain groups of pheno-





mena in all possible forms of written accounts to provide means with which literature can be interpreted. Our aim is not to prove theorems but to demonstrate the ways in which certain phenomenological principles function. This will be done by using examples from both literary and non-literary texts, without making the usual differentiations between the two. The validity of this method cannot be pragmatically measured unless the findings are universally valid and must therefore be applicable also to literature as one of the most complex forms of written accounts. Consequently, it must be the aim of this analysis to remain purely descriptive and avoid interpretation. It is recognized, however, that this rule cannot be adhered to in practice at all times and in all instances. Thus, there may occur cases where a purely descriptive phenomenological statement was intended, but where, dependent upon the nature of the subject in question, interpretation was inevitable.

Each scholarly field, be it an art or a science, will maintain a certain bias in dealing with its particular problems. The bias can be described as a bias of context, or a bias of perspective. Literary criticism makes its subject matter "literature" in the sense of "poetic literature" and "belles-lettres." As a scholarly field, literary criticism is "biased" in this respect. It will not deal with other writing "seriously," its bias of context is circumscribed by belles-lettres and its like. A few studies on doubleganger belong in this area. Naturally, they do not consider the phenomenon where it appears in contexts outside the field of literature in the above sense.

The bias of perspective presents a similar problem. It is somehow interlinked with the bias of context, but it must not be confused





with it. The bias of perspective describes the limited outlook upon the subject matter dealt with in any coherent context. In a book on genetics the bias is circumscribed by that science. In a good novel, the bias of perspective is predominantly artistic, and so on. When a psychiatric study makes the phenomenon of doubleganger its subject matter, we expect entirely different results than from a description of the same theme by a novelist, a geneticist, or an anatomist. We do not even expect that the phenomenon would be identified by any common denominators or functional similarities.

A phenomenological study must radically de-emphasize the bias of context. The material which is taken into consideration must be sampled regardless of its "literary" merits. Examples cannot be neglected because they do not fulfil certain aesthetic requirements or because they are not adequate texts from a strictly literary-historical point of view. This principle applies of course not only in the case of belles-lettres. The bias of context is possible in any scholarly field. Thus, a certain treatise on the anatomy of conjoined twins, obsolete though it may be in the medical bias, can still make a very valid contribution in this context. This point is stressed here because a number of examples of this analysis are taken deliberately from such "obsolete" works in various fields of science and the arts, while others are from works very much up-to-date. There is, of course, a principle of selection, and this principle shall be discussed shortly.

Restriction of this analysis by a bias of perspective in the above sense is just as inconceivable. In practical terms this would





mean a repetition of what happened in all previous analyses of doubles or doubleganger as far as we know them, namely, an investigation of the phenomenon from the strict point of view of one particular science only.<sup>7</sup> The results of this procedure have been quite monolithic in each case and although this fact can be considered a merit in as much as the particular field is concerned, yet for a universal appreciation of the phenomenon it presents an obstacle.

For the fascination for doubleganger is not solely the prerogative of poetic literature or even of literature generally (i.e. including folklore, journalism, radio, film and television, and anything called "fiction"). As the phenomenon itself has proved to be universally human, the fascination for it has become quite universal. There is hardly any field in the arts or sciences dealing with direct human conditions which has not, in one way or another, discussed at least some aspects of doubleganger. Thus pathology has its double monsters (conjoined twins unfit for life), anatomy its Siamese twins, genetics its monozygotic twins, psychiatry its self-projection and schizophrenia, psychology its hallucination, occultism the roaming soul-double of a sleeping self. They have all dealt, each in its own way and distinctly with its own bias of perspective, with one or several aspects of the phenomenon. This bias must fall if the present analysis is to meet the universality of doubleganger. But this can only be achieved if all sources are regarded as equal, if a context remains a context--be it fiction or non-fiction, be it medicine or quackery.

The extent to which the bias of context and the bias of perspective are reduced in the present analysis can therefore be formulated



in the following way. Any context selected for this analysis must satisfy the demand that it is indeed in the form of a context and hence represents a literary reality (bias of context); and that the item contains, in some form, traits of the phenomenon of doubleganger (bias of perspective). While the criterion for the first condition can be easily understood, the criterion of the second condition is elusive at first sight. For it seems reasonable to assume that unless a full analysis of the phenomenon has been made, no one can positively say what such "traits of doubleganger" are. It is evident, therefore, that an analysis of a far greater number of examples than are actually used had to precede a written analysis in this form. Not until the results of such a preliminary analysis were obtained could the "traits of the phenomenon of doubleganger" be determined.

If the bias of perspective is thus the result of a second analysis, it was yet influenced by another important factor, namely, the general condition of chosen text-examples, in particular, the originality of language and the originality of context. In establishing methods which might more adequately serve a phenomenological investigation of this scope, several specifically literary critical procedures had to be questioned.

Should all examples be quoted in the "original," and what is an "original" if we disregard chronology because we neglect a historical bias? Should all examples be quoted in the "original" and not in paraphrase, and is translation not already a form of paraphrase? To what extent is this analysis concerned with "authenticity?"





From the condition made above that the phenomenon of doubleganger be observed in any form of literary reality it follows that authenticity in whatever form is of no concern to this analysis. Of a variety of examples of texts with the same or with similar contents that example shall be chosen which most suitably demonstrates a particular function or functions of doubleganger (bias of perspective). Authenticity and originality, both of language and of context, can be disregarded in this respect (bias of context), but shall be disregarded only in cases where it is of advantage to the analysis.

The validity of this approach cannot be immediately proven. In the course of this introduction, methods of this analysis can only be demonstrated, not justified. The merit of these methods will have to be judged by the results of the analysis itself.

A very practical example involving the problems of authenticity and originality, which is actually used several times during the course of this study, shall briefly illustrate this point. Gustav Schwab, in Die schönsten Sagen des Klassischen Altertums, reports an episode in which Hercules, who chances upon a statue of himself in the darkness, takes this image to be a live enemy, hurls a stone at it and destroys it.<sup>8</sup> As matters stand, the example in its present form can be of great importance for an understanding of actions and reactions of doubleganger in confrontation and conflict, in which the hero's attack of the double, his non-recognition, and his symbolical self-destruction are only the major components. Now if in this instance the question about the authenticity of this episode should arise, our argument would become





very precarious. To begin with, Schwab did not disclose his sources. Secondly, those sources to which parts of the episode can be traced make no mention of a destruction of the image, and are, above all, themselves subject to scepticism in authenticity. Finally, after careful search it can be established with reasonable certainty that apart from Schwab's text no traces can be found of an actual destruction of the statue by Hercules. Apollodorus reports that "Daedalus made a portrait statue of Hercules at Pisa, which Hercules mistook at night for living and threw a stone and hit it."<sup>9</sup> Pausanias, on the other hand, mentions thrice a wooden statue of Hercules made by Daedalus, but tells us nothing about the hero's encounter with his image.<sup>10</sup>

However, since "authenticity" in its above meaning is of no relevance to the examination at hand, we have no quarrel with the possible fact that this version of the episode is an epische Aufschwellung of Apollodorus and similar sources. Rather, its phenomenological significance to this analysis lies in the attack and destruction of the image and hence the episode as Schwab reports it is for us the most relevant form. Schwab's version runs as follows:

. . . der Vater des Ikaros, der kunstreiche Daedalos [errichtete] das wohlgetroffene Bildnis des Herakles zu Pisa in Elis. Der Held selbst aber, als er einst dorthin kam, hielt das Bild, von der Dunkelheit der Nacht getäuscht, für belebt. Seine eigene Heldengebärde erschien ihm als das Drohen eines Feindes, er griff zu einem Stein und zerschmetterte so das schöne Denkmal, das seiner Barmherzigkeit vom Freunde gesetzt worden war . . . .<sup>11</sup>



For example, the story now corresponds with the tale of a man who throws a stone at his reflection in the water<sup>12</sup> and an episode in which the hero crushes into splinters the mirror which reflected him.<sup>13</sup> These three examples can now be identified by a number of characteristics which they have in common, most notably by the destruction of the reflected double, by the projection of the hostile self into the image, and by non-recognition of the self's reflection.

A few further remarks on the condition of selected contexts are necessary. To paraphrase an event which has been described before is one of the most common occupations in literature. Whenever this happens, a new literary reality is being created. Its degree of difference from the literary reality from which it derives is directly proportional to its deviations in content and context. Thus, the above example represents predominantly a case of deviation in content. And although deviations of context also have occurred (English paraphrase of German text; English translation of Greek texts, etc.), they are considered negligible from the point of view of the present analysis.

It may well happen, however, that such contextual deviations play a much more important rôle when the general content of several variations remains constant. In such cases, much more attention will be given to the verbal aspects of paraphrase. In particular, the various nouns which designate similar, or identical, phenomenological aspects of doubleganger will be subject to careful scrutiny. The following example represents two descriptions of the same event in a certain film. It will be quite clear that





although the basic content remains unaltered, the two passages could not be more dissimilar, most especially because of several types of contextual deviations.

. . . un vieillard mystérieux, Scapinelli, mène le jeu dans l'ombre et offre à Balduin, trop pauvre, un pacte: il lui donne 600 000 guldens en échange du droit de prendre dans sa chambre ce qu'il voudra; Balduin n'y perd que son ombre, qui devient un "double" indépendant.<sup>14</sup>

Auf seiner Bude übt Balduin vor dem großen Spiegel Fechterstellungen; dann versinkt er in trübes Nachdenken über seine unangenehme Lage. Da erscheint Scapinelli und bietet ihm ein Vermögen an gegen Unterzeichnung eines Kontraktes, der ihm gestatte, aus Balduins Zimmer mitzunehmen, was ihm beliebt. Balduin weist lachend auf die kahlen Wände und die primitive Einrichtung und unterzeichnet fröhlich den Schein. Scapinelli sieht sich suchend im Zimmer um und findet anscheinend nichts, was ihm entspricht, bis er endlich auf Balduins Spiegelbild weist. Dieser geht willig auf den vermeintlichen Scherz ein, erstarrt aber vor Staunen beim Anblick seines zweiten Selbst, das sich vom Spiegel löst und dem Alten durch die Türe und auf die Straße hinaus folgt.<sup>15</sup>

Both passages must be considered equally authentic, because as literary realities they represent transcripts of a cinematographic reality. Characteristically, however, both passages differ considerably in employing logoi to describe the same phenomena. That is to say, the contextual deviation in this respect results not only from using words of different languages but also from the use of words which differ in value. In particular, ombre





corresponds with Spiegelbild, and double with zweites Selbst.

A relative comparison (one which will relate all aspects of both passages) will therefore identify Balduin's "shadow" with "mirror-image," and his "double" with "second self."

So far, this train of thought presents no particular problem.

A preliminary conclusion would declare the pairs ombre and Spiegelbild, as well as double and zweites Selbst, phenomenological synonyms. But the German version uses Spiegelbild also as a synonym for double:

Da bemerkt sie bei einer zufälligen Bewegung, daß neben ihrem Bild im Spiegel das seinige fehle; erschreckt fragt sie ihn nach der Ursache, da verhüllt er beschämt sein Haupt und grinsend erscheint in der Tür sein Spiegelbild.

Nach einer längeren Fahrt in rasendem Tempo glaubt er sich geborgen, steigt aus und will den Kutscher entlohn--da erkennt er in ihm sein Spiegelbild.<sup>16</sup>

On the other hand, Spiegelbild in the sense of zweites Selbst is supplemented by the synonymous use of Doppelgänger, Spukgestalt and Phantom in the same text.<sup>17</sup> A comparative analysis of these observations, which is not made on the basis of coherent content of the underlying story, but which is simply an investigation of related logoi in two related texts, will therefore result in the following conclusion: there are not really two sets of concepts in the sense in which words of two different languages are employed to indicate these concepts (ombre-double; Spiegelbild-Doppelgänger); nor are we dealing with two different phenomena in the sense in which one group of words denotes "mirror-image," and the



the other group "alter ego" (ombre-Spiegelbild; double-Doppelgänger); rather, all words thus employed are aspects of the same phenomenon and in this sense, must be understood as components of the total.

It is of crucial importance to this analysis that in all cases the total of connotations of a key word be considered, even if the word itself at times appears in contexts which restrict the total of its meanings. This method is based on the conviction that a word cannot simply shed marginal connotations, but rather, that such connotations remain latent contents of the verbal sign in question. This "semantic reality" is an important complement of the literary reality.

One encounters similar problems when first confronted with the task of discussing a particular pair of doubleganger. An attempt to describe what one observes in this instance can only be made if the observer commits himself to a particular point of view of observation. The ensuing paradox is obvious at first glance: since the object of observation is evidently a dualism, an adequate discussion of this phenomenon must be conducted in the form of a dualism of two descriptions. This means that the point of view of observation and description must shift in a dual sense. Firstly, it can be with the hero or with the double. Secondly, it can be with doubleganger on the one hand, or with the medium in which they reflect, project, appear or in which the conflict occurs on the other.

Such a shift of point of view and the resulting dualism of two descriptions can be best explained by analysing the relationship





between a ventriloquist and his dummy. The ventriloquist's gimmick is basically that the unbiased observer perceives him as the stooge and sees the hero in the dummy. Such, at any rate, is the reaction of children confronted with the affair. The enlightened observer who sees, as it were, the artist's skill reflected by the re-actions of the puppet-double, has exactly the opposite impression. His "hero" is the ventriloquist. The artist himself reflects and projects himself at the same time. He and his dummy are doubleganger. From the dummy's point of view, however, the ventriloquist is his original parasite who "lives on him" while he (dummy) himself is the hero.

The quintessence of this deliberation is that all concepts which were conceived to describe the situation of the ventriloquist and his dummy are by the very nature of their application dualistic concepts. And in the manner in which the terms "hero" and "double" have become arbitrarily exchangeable, the qualities of "dummy," "stooge," and "parasite" are applicable in their full meaning to either personality of the doubleganger pair.

The situation becomes more subtle though seemingly less complicated when the appearance of doubleganger cannot be immediately referred to in terms of two tangible personalities of one person (as in the ventriloquist's case) or of two persons of one personality (as in the case of Balduin), and when familiar concepts of reflection (Spiegelbild-ombre) and projection (scapegoat-stooge) are absent. The mechanics of appearance of doubleganger being de-emphasized in such cases, it is more likely that the mechanics of conflict play an important rôle. In the absence of the usual





semantic set of concomitant phenomena, a very thorough analysis of the literary reality of such cases, as well as of the semantic reality of certain key-phrases must be the primary objective. Two episodes may serve as examples in this instance. They are both borderline cases of an "appearance" of doubleganger, but they demonstrate as such significant traits of the phenomenon.

(1) A man awakes with his knees in the air. He thinks the knees are a lion and splits them with his axe.<sup>18</sup>

We are here faced with a conflict and an attempt to solve this conflict in a manner quite typical for doubleganger. The conflict arises, not as a result of, but simultaneously with, the self's realization that he is, in whatever way, "double." In (a) "he thinks the knees are a lion" it is important to note the content that he perceives "parts of his self" as being something "other than self." The dominating connotation of "thinks" is that of a mental rather than an intellectual act. In (b) "and splits them," the mental split of the self is now "physically" executed, in such a way that a "split in two" is strongly suggested. The conflict arises at the level of (a) "he thinks the knees are a lion," (parts of self other than self). But the solution of the conflict (b) "and splits them" is not the "effect" of which the conflict itself was the cause; for the seeming solution only aggravates the conflict by perpetuating ("split in two") what was only conceived of fleetingly: by applying his axe the man makes the lion come real as his other self. Like conflict and "solution," "cause" and effect are concomitant.



The attempt in the present case to alleviate the conflict of double existence is clearly qualified as self-destruction. This quality will be recognized as a universal phenomenon of conflict-solution in doubleganger. The previous case of Balduin ("mais le double qu'il tue, c'est lui même"),<sup>19</sup> the case of the "cold schizoid person" who "may 'go for kicks,' court extreme thrills, push himself into extreme risks in order to 'scare some life into himself,'"<sup>20</sup> and the case of the schizophrenic who feels he has killed his 'self' ("and this appears to be in order to avoid being killed. He is dead in order to remain alive")<sup>21</sup>, are pregnant examples.

(2) A fool steps on a rake and falls down crying,  
"I surrender!"

This is not simply a surprise attack by an unknown agent, because the unknown agent is "self." It is more obvious in this example than in (1) that the self-inflicted pain furthers the split in two. (a) "steps on a rake" must already be observed as an act of someone "other than self;" (b) "falls down crying" projects someone "up there" who performs the beating, and (c) "I surrender!" is again a solution only in the sense in which it reinforces the existence of two selves.

Self-injury in this case occurs not to achieve mitigation as in the previous example but clearly as an act of usurpation. This alternative will prove quite typical in the greater doubleganger event. With it comes the very characteristic submission to the dominant double ("I surrender!"). Another common feature of both examples is that the hero perpetrates an act of folly. It will





be shown during the course of this investigation that idiocy, madness, insanity are very frequent companions of doubleganger in conflict.

These examples have made it clear that contradiction is a salient feature in the description of doubleganger episodes. As the result of an analysis of a paradox this does not come as a surprise. But in the evaluation of these descriptions the contradictory forces must be comprehended not as negations, but as complements of each other.

A number of groups of phenomena interact in a given episode involving doubleganger. The main effort of this phenomenological study is not to answer what doubles or doubleganger are in descriptive or morphological terms, but to observe and describe in some order all concepts which appear as forces of such interaction where doubleganger are present in written records and accounts.

In the second part of this introduction a number of the more prominent critical works will be discussed which have so far, directly or indirectly, dealt with the phenomenon of doubleganger, or one or several of its aspects. The reason for discussing them at this point is that a number of these books or articles have not been included in the body of the thesis, or, if this was the case, have only briefly been alluded to.

As has been pointed out, this study is an attempt to stay aloof from the bias of context as well as the bias of perspective of



any one particular criticism of the phenomenon, and this can indeed be achieved by accepting those results which all of the critical works have in common but neglecting the individual theories which are far too heterogeneous to be incorporated in one new "synthesis."

A division will be made among the works to be discussed here between those which deal exclusively with doubleganger and others which contain in some form discussions of the phenomenon or aspects thereof as part of a broader topic. Let us begin with the first group.

It is generally conceived that Max Dessoir's work Das Doppel-Ich (1896)<sup>23</sup> is the first of its kind. In general terms, the study deals with a number of psychiatric cases of some form of double consciousness. The author proposes to distinguish between "three stages" of split consciousness; in the first stage all functions of consciousness appear normal and the psychic process is being perceived with full awareness by the individual, but he refuses to acknowledge as his own all experiences and memories which help to form his personality. The second stage comprises those individuals who are incapable of reconciling the morally "bad" factors of their personality with the "good" ones and hence execute a split into a "good" and a "bad" self. To this separation of a second self the individual in the third stage adds a "hallucinatory sensualisation" of the second personality.<sup>24</sup>

Dessoir holds that, to a certain degree, dual personality is normal in that it results from the interaction of two spheres of consciousness, of which one is eine verborgene Bewußtseinsphäre,





capable of determining a number of actions. He calls this interaction of the two spheres Doppeltbewußtsein.<sup>25</sup>

According to Dessoir, then, the I comprises two centres of consciousness; a sphere of upper consciousness (Oberbewußtsein) and one of lower or sub-consciousness. The contents of each of these spheres may form their own synthesis and may as such maintain their status of separate syntheses.<sup>26</sup> The seemingly "simple" ego exists therefore in dual form, but we are conscious of it (under normal conditions) only as of a single one.

Emil Lucka's essay "Verdoppelungen des Ich" (1904) is largely an attempt at analysing various appearances of double existence from an ethical point of view.<sup>27</sup> A dominating factor in his discussion of doubleganger is the psychology of fear. His basic idea is that the more highly developed the morality of a man, the graver are the consequences of a confrontation with his self (fear, shame, horror). In emphasizing these aspects of the phenomenon, Lucka finds a number of valid examples, predominantly from literature, but some of his conclusions may appear speculatively paranoid:

Der Mann, der es über sich bringt, seine ihm ähnlichen Söhne (seine heranwachsenden Doppelgänger) ohne ununterbrochenes Grauen zu betrachten, ist nicht[!] von tiefer Sittlichkeit erfüllt.<sup>28</sup>

Der tiefe, tragisch angelegte Mensch [i.e. the man of the highest moral order] haßt den, der ihm ähnlich sieht, instinktiv; er fühlt sich in seiner Gegenwart verraten, durchschaut; er ahnt . . . eine verwandte Seele mit den gleichen Neigungen, die er in sich kennt und haßt; in jeder Bewegung, in jedem Worte . . . fühlt er sich verdoppelt, preisgegeben.<sup>29</sup>





"Doubles," an article by A.E. Crawley in the Encyclopedia of Religion and Ethics (1911), is not so much a critical as an informative and systematic description of a number of the more prominent phases and features of double existence.<sup>30</sup> As would seem appropriate for the genre, the article begins with a definition of the concept "double;" it is noted that a double or counterpart may arise in two fundamentally different ways: by multiplication and by division.

The author then approaches the subject matter by discussing first duplication in general, and in a second and larger part, duplication in the particular form of the "spiritual double." By illustrating his report with a vast number of examples, especially from folk-lore, folk-customs, superstitions and rites, Crawley concludes for the first instance that duplication represents a form of concealment and security, and that "service, substitution, disguise, and 'other-selfhood' shade into each other."<sup>31</sup> Representation and impersonation are further general concepts of duplication.

In the part on the spiritual double the author discusses the numerous possible forms and shapes in which a double may appear, as well as several significant implications of the double's appearance, most notably those of reincarnation, danger and death.

The first book-size investigation of the phenomenon is Otto Rank's Der Doppelgänger (1925).<sup>32</sup> Rank calls his work "eine psychoanalytische Studie" and this describes essentially the aim of the book, namely, to interpret the apparition of the double in psycho-



analytical and psychopathological terms. In this, the author is very thorough; he uses a great number of examples, mostly from literature, quite frequently from nineteenth century European literature and extensively from folklore. Interspersed are examples from films, letters, and biographies. The analysis is in essayistical form; it is therefore lacking a methodical symptomatology and prognosis, or the literary-critical equivalent thereof.

"Das Doppelgänger-motiv" (1928), a brief essay by J.E. Poritzky, does not essentially add new insight, since, except for a short aesthetical evaluation of the phenomenology of the mirror, it is confined to enumerating works of literature which contain in some form the said "motif."<sup>33</sup>

Das Doppelgänger-motiv in der Romantik. Studien zum romantischen Idealismus (1930) by Wilhelmine Krauss is another book-size essay. As its subtitle would indicate, the emphasis in this case is on the philosophical background of the romantic era, or, more specifically, of German Romanticism. "Ziel der Arbeit ist es," says the author in her introduction,

zu zeigen, aus welchen geistesgeschichtlichen Voraussetzungen das Doppelgänger-motiv in der romantischen Dichtung erwächst, aus welchen Motiven heraus es bei den einzelnen Dichtern gestaltet wurde und wie sich diese Motive endlich zum Zeitgeist selber verhalten.

. . . die geistesgeschichtliche Voraussetzung für das Doppelgänger-motiv ist ein subjectiv übersteigter Idealismus, der für die ganze Zeitepoche bestimmend ist.<sup>34</sup>





This idea is documented by brief analyses of the theories of Tieck and Schlegel as well as certain aspects of Fichte's philosophy; the larger part of the book is a discussion of several prominent works of German romantic writers, in particular, several novels by Jean Paul, as well as works by Kleist, Brentano, Fouqué, Chamisso and E.T.A. Hoffmann.

In Le double (1946), Alois Stocker attempts a somewhat new definition of "The Double," by approaching the problem from a metaphysical point of view.<sup>35</sup> During the course of several chapters in which various appearances of doubles in literature are discussed, the author introduces his notion of the double as a representation of l'homme intérieur, and of l'homme extérieur.<sup>36</sup> This patently simplified division is applied in the attempted interpretation of doubleganger literature ("Le double chez les Russes;" "William Wilson et Dorian Gray,") and leads up to what seems intended as the key-chapter of the book, "Psychologie et métaphysique du moi."

After reiterating his dual classification of doubles as representation of le moi profond and le moi superficiel,<sup>37</sup> Stocker gives a broad description of William James' "identité du je et du moi," goes on to discuss the notion of self in Descartes, Kant, Leibniz and others, and comes to the somewhat trivial conclusion:

. . . l'individu humain se distingue des individus de toutes les autres créatures vivantes de la terre, pourvues, elles aussi, d'une "âme" et d'un corps, mais déterminées à l'avance dans leur harmonie hiérarchisée.<sup>38</sup>



He distinguishes in the soul "ce qui est en elle plus 'spirituel' --et ce n'est pas 'l'esprit,' mais le 'cœur,'" and arrives at a scheme whereby the personne can be understood as a kind of sentry who watches over l'individu and keeps its three components (soul, spirit, heart) in order.<sup>39</sup> The book concludes with an outlook on "image et la ressemblance" in which a number of poetic illustrations are used.

In the author's own words, the medical dissertation Über den Begriff des Doppelgängers und verwandter seelischer Spaltungserscheinungen (1949) is a "kurzer Streifzug durch das Gebiet des Doppelgängers."<sup>40</sup> Naturally, the emphasis in this work is on the psychopathological aspects of the split self and this part of the thesis is very well organized, though documentation is scanty to non-existent. Paul Röbel discusses a number of well-known psychopathological doubleganger situations such as hysterical trance, consciousness in trance, schizophrenia, split personality in spiritism, hysteria and others. In this connection he advances the theory that some epileptic cases produce an alternation of consciousness and hence, a split of personality which is very similar to that in hysteria. The person thus affected undergoes an état second of which he remembers nothing when returned to his normal condition.<sup>41</sup>

The author's introductory remarks on doubleganger in folk-belief and superstition are very general and cursory as are the brief discussions of "Das Doppelgängermotiv in der Literatur" and the double in films at the end of the thesis. No attempt is made to investigate the problems of conflict and its solution in doubleganger.





In a short first chapter, Ralph Tymms attempts to trace "the origins and development of the double" in a study entitled Doubles in Literary Psychology (1949).<sup>42</sup> If this first chapter gives the impression of a rather promiscuous accumulation of occurrences of "doubles," the method of presentation in the following two parts of the book makes it difficult to recognize a systematic approach, save for the division of the material into German Romantic Literature and Post-Romantic Literature.

The number of examples of doubleganger in literature which Tymms discusses is certainly greater than in any previous study on this topic. The author takes care in most cases to provide the reader with a brief plot of the work in question. The bibliography of secondary literature, or "General Works," as the author terms them, leaves much to be desired. Most notably, one misses mention of the works of Stocker and Gusdorf.<sup>43</sup>

"The Double in Romantic Narrative: A Preliminary Study" (1961)<sup>44</sup> by Marianne Wain is a brief paper which bears in some ways resemblance to the above mentioned work by Wilhelmine Krauss. Its dedication is chiefly to "the Double image in its heyday" and to this end, German romantic theories are discussed and, subsequently, some works by Jean Paul and E.T.A. Hoffmann are briefly analysed.

Dvojniki--reč i pojam (1966) by Milan V. Dimić represents a new kind of literature on doubleganger because it is a first earnest attempt at a systematic assessment of the phenomenon as a total.<sup>45</sup> The use of the word dvojniki and its equivalents in other European languages is painstakingly determined and most studiously document-





ed in this study. In the second half, the author elaborates with equal care on the historical, and phenomenological, evolution of the double and all its related concepts. The bibliography, which must be gathered from a massive apparatus criticus, is the most complete to date and includes, in this writer's opinion, all known theoretical works on the topic of double existence.

The second group of works to be discussed here consists of those which deal with the phenomenon of double existence as one feature of a more extensive theme. Gusdorf's La découverte de soi (1948) is the first noteworthy contribution in this respect.<sup>46</sup> The introduction of the book ("Conscience de soi et Connaissance de soi") leads towards the greater plan of the work: a historical-critical analysis of cognition and self-consciousness in philosophy, literature and psychology.

In a relatively short chapter of this voluminous work, the author discusses "the double" as an "abnormal" attitude of self versus self.<sup>47</sup> He offers, subsequently, interpretations of Chamisso's Schlemihl and Dostoevski's ДВОЙНИК and elaborates in turn on Rank's Doppelgänger as well as Freud's Essays on Applied Psychoanalysis. Gusdorf concludes that "l'homme équilibré n'est plus tourmenté par son ombre, car il a pu incorporer son ombre même à l'être de sa vie . . . : Ainsi l'expérience du double nous met en présence du cas limite de la dissolution de 'l'idée de l'homme,' qui aboutit à une aliénation de soi à soi, instituant une hétéronomie, qui dépossède l'homme de sa propre existence."<sup>48</sup>

Rosette Dubal's assertion that the devil is a human projection is not entirely novel (La psychanalyse du diable, 1953).<sup>49</sup> Roheim



and Rank, among others, have pointed out some time ago that not only is the devil a human projection but the phenomenon often functions as a projection of the particular self who is involved in the confrontation.<sup>50</sup> In her chapter "Formation de la notion de l'âme et du double" the author proposes that certain physical phenomena such as the shadow, the reflection and the mirror instigate the belief in the Double, the Soul and in Spirits.<sup>51</sup> These projections, we are told, can take on the aspect of a good Soul or that of an evil Spirit.<sup>52</sup> The demoniac representation of the double is seen by the author as an exemplary one; hence the examples of Gogol's Portrait, Dostoevski's Brothers Karamasov, Stevenson's Jekyll and Hyde, and Wilde's Dorian Gray.

Hysteria, schizophrenia and hallucinations are other forms of demoniac dédoublement. Of these, the former two represent the two great taboos of humanity: incest and crime. In schizophrenia, where

le conflit est plus de l'ordre de la criminalité que de la sexualité, le double n'a plus le visage de Pan, mais du Surmoi diabolique . . . . Le Surmoi avec lequel ils n'ont pas pu trouver d'accord est alors projeté à l'extérieur, tantôt sous la forme du Diable, tantôt à travers toute la nature qui s'anime terriblement, tandis que le Moi devient spectateur et passif.<sup>53</sup>

In summing up it can be said that La psychanalyse du diable considers the phenomenon of double existence as a particular form or forms of demoniac hypostasis.

Åke Hultkrantz' Conceptions of the Soul Among North American Indians (1953) is mentioned here for a very particular purpose,







namely, the author's use of the concept of "double-ganger" as a "special variation of the idea of the free-soul." With "double-ganger" or "double," says Hultkrantz, "we refer of course generally to the conception of a replica of the individual resembling him in all essentials, yet being not himself, but his wraith."<sup>54</sup>

The author goes on to extend the definition: "A double-ganger is a spiritual being coordinated with the individual and connected with his existence, and for different reasons--sometimes on account of its resemblance to him--identified with him and appearing simultaneously with its human partner, but in another place."<sup>55</sup>

Thus, in his section on "double-ganger" Hultkrantz concentrates on the problem of the appearance of this "form of soul" as a death omen, which explains in part his restricting clause in the definition that the double must appear in another place than his human partner. Significantly, in most of his examples, the death-foretokening double appears, not to his owner, but to other persons. In this context, the double-ganger is understood generally as a soul who shows its intentions to depart from the proper self before long.

Örjan Lindberger's study The Transformations of Amphitryon (1956) is first and foremost an investigation into the historical development of a motif of mistaken identity.<sup>56</sup> But in recording the fate of the myth of Zeus' and Alkmene's concubinage in twenty-two centuries of literary tradition, the author has turned up more than just a number of interpretations of plays and tales. The book is a rich source of a series of typical doubleganger situations, and it can be concluded from the discussion of them that there exist



certain groups of phenomena which represent a pattern of conflict in double existence.

The seduction of an innocent and unsuspecting wife coincides, in the case of the Amphitryon fable, with the employment of three further phenomena typical for the existence and conflict of double-ganger: gestaltentausch, mistaken identity and usurpation. Any one of these features may dominate at the cost of others which may be absent in a particular version. Thus, in one of the earliest versions of the myth, Aspis, which is generally attributed to Hesiod, Zeus shares Alkmene's bed apparently without employing transformation.<sup>57</sup>

In his fourth chapter, entitled "A False Amphitryon," the author investigates a tale of the emperor Jovinianus. Here, usurpation and mistaken identity are the dominating themes, while gestaltentausch is implied and adultery seems absent: the guardian angel who usurps the throne has obviously assumed the emperor's appearance, but there is no mention of an abuse of nuptial privileges.<sup>58</sup>

Of particular interest to the student of doubleganger is the discussion of two twentieth century Amphitryons in chapters IX and X, namely, Giraudoux's Amphitryon 38 and Kaiser's Zweimal Amphitryon, predominantly for the reason that both authors are shown to utilize the myth with a conscious psychological insight and an awareness of many of the historical and traditional literary features.

The second part of Ivar Paulson's Die primitiven Seelenvorstellungen der nordeurasischen Völker (1958) is entitled "Phänomenologie der Seelen." In this part, the chapter on Doppelgängerseelen is





of particular interest to this study. Like Hultkrantz, Paulson understands the "double-ganger soul" to represent a specific form of the free-soul, namely, that of an independent death-foretelling messenger who does not, as a rule, appear to his proper self but to other persons. In Paulson's final definition, however, the Doppelgängerseele is further restricted in its function as it appears as an independent being whose ominous nature is its sole purpose:

Es ist eben die zugleich mit der Person an einem ganz anderen Orte erscheinende Seele, die Doppelgängerseele, die nicht, wie die Freiseele, den Menschen in seiner ganzen, geschlossenen persönlichen Identität vertritt und auch nicht sein Ichbewußtsein trägt (wie die Traumseele), sondern bloß ein, dem Menschen ähnliches, aber selbständiges Seelenwesen von ganz besonderer, ominösen Natur.<sup>59</sup>

R.D. Laing's The Divided Self (1959)<sup>60</sup> is a very scrupulous, and equally successful analysis of the onset and final manifestations of a split personality. The author's aim is, as pointed out in his introduction, "to make madness, and the process of going mad, comprehensible;" the result of this aim is an elaborate symptomatology of schizoid and schizophrenic thinking and behavior, as well as an exhaustive examination of the sociological, psychological and psychopathological background of the division in the self. During the course of the study, the reader is constantly made aware of the various intellectual as well as physiological motivations of a split of the self or a doubling of it.

For two reasons The Divided Self can become a key for the understanding of literary and artistic doubleganger: firstly, because





a number of prototypical schizoid and schizophrenic conditions in the very methodical collection of case histories bear more than casual resemblance to similar situations in lore and fiction; and secondly, because the author analyses a number of situations of a psychic split, such as the dualism of mind-body, self-body etc., as well as discussing self-consciousness and self-recognition as sources, and self-condemnation and self-annihilation as results, of a divided self.

A discussion of various forms of dualism in connection with soul-belief and death-belief in Die Religionen Nordeurasiums und der amerikanischen Arktis (1962) by Ivar Paulson, Åke Hultkrantz and Karl Jettmar can be considered a concise supplement to Paulson's and Hultkrantz' above mentioned works.<sup>61</sup> Particularly interesting are the various reported forms of the surviving free-soul and its frequent association with the concepts "shadow" (Schatten, Schattenseele) and "double-ganger" (Doppelgänger, Doppelgängerseele) which represent the dead person in his "total personal identity."<sup>62</sup>

To conclude, André Dabiez's book Visages de Faust au xx<sup>e</sup> siècle, littérature, idéologie et mythe (1967) is mentioned here because the author discusses a number of "Faust situations" which are in fact doubleganger situations or doubleganger themes. Of course one might at this point ask the question if not all Faust themes which include a confrontation with his demoniac vis-à-vis are in effect doubleganger themes. Be that as it may, from Dabiez's point of view only a few doubleganger situations or events qualify as faustiennes, among them Hans Heinz Ewers' Der Student von Prag and Franz Werfel's Spiegelmensch.



Spiegelmensch is discussed under the subtitles "L'homme expression-iste et les deux âmes de Faust" and "L'homme expressioniste et la tentation faustienne." Dabezies sees the Mephistophelian part of Spiegelmensch's personality in his histrionic, versus Thamal's authentic, existence. "Spiegelmensch est le sophiste lucide, expert en tout langage et artiste du bluff; il est le Moi littérateur, à l'aise parmi les nouvellistes et les oisifs; il est aussi l'homme du plaisir, cynique et sans scrupule; par conséquent le tentateur . . . ." On the other hand, the temptation works both ways: Spiegelmensch is tempted by Thamal's presence, Thamal's fate, Thamal's abuse of him: "Spiegelmensch, qui pousse à la roue sans s'en apercevoir, restera tout pantois le jour où Thamal, délaissant ses tentations pour celles de l'autre, passera de l'activisme au sacrifice, de la Tat à l'Opfertat."<sup>63</sup>

Visages de Faust is a voluminous and complex work and it deserves the careful attention of the student of doubleganger, not least because of its intelligent analysis of Paul Valéry's works, in particular an analysis of the relationship Faust-Lust in Troisième Faust.<sup>64</sup>





## FOOTNOTES

<sup>1</sup>Albert J. Guerard, "Concepts of the Double," in: Stories of the Double, Philadelphia, 1967, p. 3.

<sup>2</sup>ibid., p. 4.

<sup>3</sup>Johann Paul Friedrich Richter, "2<sup>ter</sup> Jenner, Abel und Sethsblatt," in: Jean Pauls sämtliche Werke, ed. Eduard Behrend, Abteilung I, Weimar, 1927-44, Vol. VIII, p. 245.

<sup>4</sup>For example in Siebenkäs, ed. cit., Vol. VI, ed. Kurt Schreiner, Weimar, 1928, p. 54.

<sup>5</sup>For a thorough documentation of the use of these terms see Milan V. Dimić, "Dvojniki--reč i pojam," in: Filoloski Breg--Revue de Philologie IV (1966), 103.

<sup>6</sup>More recently Thomas Pynchon, in V., Montreal (Bantam) 1963, p. 224, and Vladimir Nabokov in Pale Fire, New York (Lancer) 1963, p. 103.

<sup>6a</sup>Edmond Husserl, Logische Untersuchungen, second edition, 2 vols., Halle, 1913.

<sup>6b</sup>In particular, "Zum Phänomen des Tragischen," in: Vom Umsturz der Werte, Gesammelte Werke, fourth, revised edition, ed. Maria Scheler, 12 vols., Bern, 1955, Vol. III, pp. 151-169; and "Vorbilder und Führer," in: Schriften aus dem Nachlaß, Vol. X, part I, pp. 255-341.

<sup>6c</sup>Notably, Das literarische Kunstwerk, Halle, 1931, "Das Form-Inhalt Problem im literarischen Kunstwerk," Helicon, I (1938), 51-67, "Über die gegenwärtigen Aufgaben der Phänomenologie," Archivio di filosofia, I (1957), 229-241.

<sup>7</sup>The major contributions dealing with problems of doubles and doubleganger will be discussed in the second part of this Introduction.



<sup>8</sup>Gustav Schwab, Die schönsten Sagen des klassischen Altertums, Wien, 1951, p. 179.

<sup>9</sup>Apollodorus, The Library, trans. Sir James George Frazer, 2 vols., London, 1939, Vol. I, p. 243 (The Library II, vi, 3).

<sup>10</sup>Pausanias's Description of Greece, trans. Sir James George Frazer, 6 vols., London, 1913, Vol. I. (II, iv, 5; VIII, xxxvi, 2; IX, xi, 4-7).





- <sup>11</sup>Die schönsten Sagen des klassischen Altertums, p. 179.
- <sup>12</sup>Stith Thompson, Motif-Index of Folk-Literature, 6 vols.,  
Bloomington, 1957, Vol. IV, p. 149.
- <sup>13</sup>Oscar Wilde, The Picture of Dorian Gray, Harmondsworth, 1961,  
p. 244.
- <sup>14</sup>This account of Der Student von Prag (1913) is given by  
André Dabiezies, Visages de Faust au xx<sup>e</sup> siècle, littérature,  
idéologie et mythe, Paris, 1967, p. 80.
- <sup>15</sup>This more elaborate account is by Otto Rank, in: Der Doppel-  
gänger, Leipzig, 1925, p. 8.
- <sup>16</sup>Rank, p. 9.
- <sup>17</sup>ibid.
- <sup>18</sup>Thompson, Motif-Index, Vol. IV, p. 227.
- <sup>19</sup>Dabiezies, Visages de Faust, p. 80.
- <sup>20</sup>R.D. Laing, The Divided Self. An Existential Study in Sanity  
and Madness, Harmondsworth, 1970, p. 145.
- <sup>21</sup>Laing, p. 150.
- <sup>22</sup>Thompson, Motif-Index, Vol. IV, p. 226.
- <sup>23</sup>Max Dessoir, Das Doppel-Ich, Leipzig (second edition), 1896.
- <sup>24</sup>p. 81.
- <sup>25</sup>p. 11.
- <sup>26</sup>p. 44.
- <sup>27</sup>Emil Lucka, "Verdoppelungen des Ich," in: Preussische Jahr-  
bücher CXV (1904), 54-83.



<sup>28</sup>p. 72.

<sup>29</sup>p. 73.

<sup>30</sup>A.E. Crawley, "Doubles," in: Encyclopedia of Religion and Ethics, ed. James Hastings, Edinburgh, 1967, Vol. IV, pp. 853a-860a. The present edition is a reprint of the 1908-27 edition of the Encyclopedia in which the article was first published (Vol. IV, 1911, pp. 853a-860a).

<sup>31</sup>p. 854b.

<sup>32</sup>Otto Rank, Der Doppelgänger. Eine psychoanalytische Studie, Leipzig, 1925. First published in: Imago, Zeitschrift für Anwendung der Psychoanalyse auf die Geisteswissenschaften III (1914).

<sup>33</sup>J.E. Poritzky, "Das Doppelgängermotiv," in: Literarisches Echo, XXXI (1928/29), 508-11.

<sup>34</sup>Wilhelmine Krauss, Das Doppelgängermotiv in der Romantik. Studien zum romantischen Idealismus, Berlin, 1930, p. 7.

<sup>35</sup>Alois Stocker, Le double. L'homme à la rencontre de soi-même, Genève, 1946.

<sup>36</sup>p. 163.

<sup>37</sup>p. 227.

<sup>38</sup>p. 252.

<sup>39</sup>pp. 252-4.

<sup>40</sup>Paul Röbel, Über den Begriff des Doppelgängers und verwandter seelischer Spaltungserscheinungen, Med. Diss., Erlangen, 1949, p. 32.

<sup>41</sup>p. 20.





- <sup>42</sup>Ralph Tymms, Doubles in Literary Psychology, Cambridge, 1949, pp. 15-27.
- <sup>43</sup>vide pp. 24-5 and 27 of this Introduction.
- <sup>44</sup>Marianne Wain, "The Double in Romantic Narrative: A preliminary Study," in: Germanic Review, XXXVI (1961), 257-68.
- <sup>45</sup>Milan V. Dimić, "Dvojniki--reč i pojam," in: Filoloski Bregled--Revue de Philologie IV (1966), 97-120.
- <sup>46</sup>Georges Gusdorf, La découverte de soi, Paris, 1948.
- <sup>47</sup>pp. 360-373.
- <sup>48</sup>p. 372.
- <sup>49</sup>Rosette Dubal, La psychanalyse du diable, Paris, 1953.
- <sup>50</sup>Géza Roheim, Spiegelzauber, Leipzig, 1919, pp. 169-178, and Otto Rank, Der Doppelgänger, p. 85.
- <sup>51</sup>La psychanalyse du diable, p. 19.
- <sup>52</sup>ibid., p. 21.
- <sup>53</sup>ibid., p. 63.
- <sup>54</sup>Åke Hultkrantz, Conceptions of the Soul Among North American Indians, Stockholm, 1953, p. 353.
- <sup>55</sup>p. 354.
- <sup>56</sup>Örjan Lindberger, The Transformations of Amphytrion, Stockholm, 1956.
- <sup>57</sup>pp. 20-1.
- <sup>58</sup>pp. 36-9.
- <sup>59</sup>Ivar Paulson, Die primitiven Seelenvorstellungen der nord-



<sup>59</sup>(continued) eurasischen Völker, Stockholm, 1958, p. 309.

<sup>60</sup>Quotations in this text are cited from a later edition:  
R.D. Laing, The Divided Self, Harmondsworth, 1970.

<sup>61</sup>Ivar Paulson, Åke Hultkrantz and Karl Jettmar, Die Religionen Nordeurasians und der amerikanischen Arktis, Stuttgart, 1962.

<sup>62</sup>pp. 113-125.

<sup>63</sup>Visages de Faust, p. 227.

<sup>64</sup>pp. 326-334.





## CHAPTER I

### MEDIA OF THE SELF'S REFLECTION: PROPERTIES OF THE DOUBLE

The following two chapters will deal with certain situations in which the hero's twofold appearance is linked with his reflecting, or projecting state. The task here is to observe and to point out the numerous ways in which such split in two happens, and to describe the manifold varieties of literary scenes conveying this twoness. The chief interest lies, at this point, in observing the static condition, not the dynamic behaviour of doubleganger. A number of minute situations will be compared where double existence of one personality expresses itself not as an act, but as a circumstance. Examples will be selected, and understood as, bas-relief representations of the phenomenon. These are to be regarded as some singular states of double existence, not events that take place, momentary aspects, as it were, rather than transitory momenta in the greater doubleganger event.

The question must be posed, What are doubleganger in this and that particular state? and not, What will they become in the course of events following this state? We neglect, therefore, movement and development and concentrate on the particulars with which the self is confronted in a state of reflection.

The chief concept to be dealt with in this part is the concept of reflection. To begin with, reflection cannot just take place.

A medium is required which reflects. The medium will convey to



the observer certain properties as the result of reflection. In observing "media of the self's reflection," or "properties of the double," we must look at reflection from two contradictory points of view. One is to regard the respective material constitution of a medium in relation to the various things which may represent media; thus, we may look at pieces of glass, car bumpers, crystal balls, wet fingernails and lanterns and observe the circumstances under which they become media as well as the combinations they form when the reflection occurs inside them, in conjunction with them, or in their neighborhood. The other is to discuss possible animate attitudes in relation to the different personalities which may convey, in each case, the properties of the double. In this case, we are interested in the actual behaviour of the medium as the reflection emerges from it, or as a reflection is formed in combination with it. The Other One may be a shadow, a devil, a monster, a lifeless picture, a twin, or just plainly another man or woman; but whatever he turns out to be in this or that particular moment or aspect, his attitude, in conjunction with certain characteristics which the medium represents or reflects, constitutes the double's properties.

In the following scene from La belle image, when reflection is predominantly an attitude, or property, of the hero, the medium of this reflection is ambiguously made of two things: the pane and the lamp.

Un reflet passant derrière cette vitre me donna  
l'envie d'y chercher mon image. Mais étant donné  
la disposition de l'éclairage, le verre avait une  
transparence remarquable et ne réfléchissait presque





rien. Sans soucie de l'effarement des spectateurs, je me contorsionnai pour découvrir une incidence favorable, me baissant et me relevant, m'éloignant et me rapprochant. Je finis par surprendre le contour assez vague d'une tête et, épars, quelques traits du visage. Dans ces fragments de lignes et de relief, je ne reconnus rien de moi.<sup>1</sup>

But as soon as, in a second aspect, the medium appears in a slightly modified form, i.e. as soon as the lamp is masked, the medium has itself acquired the power of reflection.

Soudain, un employé se déplaça derrière la vitre et, masquant une lampe assez éloignée, modifia ainsi légèrement l'éclairage. Durant une fraction de seconde, j'eus devant moi le reflet de mes yeux. L'image, furtive mais nette, était celle de deux grands yeux clairs, au regard mou et rêveur, en tout différents des miens qui sont noirs, petits, enfoncés.

Dans la vitre, les yeux s'étaient effacés et je restais immobile, les mains aux genoux, l'esprit en déroute, évitant même de former des pensées qui n'auraient pu qu'ajouter à mon désarroi . . .<sup>2</sup>

La vitre returns the self's reflecting state as a twofold state of reflection: it depicts "une image furtive mais nette," and mirrors, at the same time, the moi with "l'esprit en déroute, évitant même de former des pensées."

"Reflection" must therefore be used ambiguously in the sense of what is going on when something is reflected as well as in the sense of what "results" from it while it is going on, and its two meanings are not separable in a case of doubleganger. The concept of reflection must be understood as containing the sum of all



potential particulars in similar states of double existence. It is then a question of point of view, whose attribute this concept becomes in a particular literary reality. In Двойник, герой нашей повести (the hero of our tale) conceives of a doorframe as a mirror. Hence the literary reality of reflection from the hero's point of view is a mirror containing his image, the reflection itself being a property of the hero:

В дверях в соседнюю комнату, почти прямо за спиною конторщика и лицом к господину Голядкину, в дверях, которые между прочим герой наш принимал доселе за зеркало, стоял один человек,--стоял он, стоял сам господин Голядкин,--не старый господин Голядкин, не герой нашей повести, а другой господин Голядкин, новый господин Голядкин.<sup>3</sup>

The reality, however, as seen from the point of view of the narrative, is that the reflection consists of properties other than the hero's, save for the identity of appearance it reflects. As observers of these contradictory realities we share both points of view in stating that the medium of doubleganger in this case is itself the reflection. And insofar as the medium consists of two contradictory things complementing one another, its contents become double contents: in one case they represent the self's reflection, in the other case they are the properties of the double.

Sosias, in Kleist's Amphitryon, is doubly reflected in the panes of a lantern to effect a double personality.<sup>4</sup> The split of the medium in thing and personality is very obvious here, for he puts





the lantern on the ground to represent Alkmene to whom he relates Amphitryon's message. In the course of the introductory monologue the split in Ich-Sosias and Du-messenger is gradually introduced, until, with the lamp as a mirroring medium, two personalities deliver a diálogo solitario.

. . . Doch wär' es gut, wenn du die Rolle übstest!  
 Gut! Gut bemerkt, Sosias! Prüfe dich.  
 Hier soll der Audienzsaal sein, und diese  
 Latern' Alkmene, die mich auf dem Thron erwartet.

(Er setzt die Laterne auf den Boden).

[Du-S:] Durchlauchtigste! mich schickt Amphitryon,  
 Mein hoher Herr und Euer edler Gatte,  
 Von seinem Siege über die Athener  
 Die frohe Zeitung Euch zu überbringen.

[Ich-S:] --Ein guter Anfang!-- [lamp:] "Ach, wahrhaftig, liebster  
 Sosias, meine Freude mässg' ich nicht  
 Da ich Dich wiedersehe." [Du-S:] Diese Güte,  
 Vortreffliche, beschämt mich, wenn sie stolz gleich  
 Gewiss jedweden andern machen würde.

[Ich-S:] --Sieh, das ist auch nicht übel!-- [lamp:] "Und dem teuren  
 Geliebten meiner Seel', Amphitryon,  
 Wie geht's ihm?" [Du-S:] Gnädige Frau, das fass' ich  
 kurz:  
 Wie einem Mann von Herzen auf dem Feld' des Ruhms!

[Ich-S:] --Ein Blitzkerl! Seht die Suade!-- [lamp:]  
 "Wann denn kommt er?"<sup>5</sup>

The hero's state of reflection takes place with a medium container present. The more clearly dualistic this medium appears to be, the more concrete and autocratic will be the appearance of the double. (This applies to all three examples but is perhaps most





clearly observed in the ambiguity of doorframe-mirror in the example from Двойник ). Conversely, in scenes where a medium is not concretely represented, i.e. where it does not consist of reflecting things, the hero's existence in two is nothing but "doubleganger talk," in which he himself or his "spiritual extensions" function both as medium and as properties of the double. An example:

An Hour with the Spirit of Alternatives.

"Let's have a talk, shall we, Joseph?"

"Glad to."

"We'll make ourselves comfortable."

"You can't be very comfortable here."

"Perfectly all right. I thrive on small hardships."

"You'll find all you need."

"Don't worry about me. You're the one who's uneasy."

"Well, the fact is, though I'm glad to have this opportunity, I can't quite place you."

"By name?"

"That doesn't matter."

"Of course not. I go by several."

Reflection itself is here the medium, and the properties of the double, qua contradictory names, are themselves the dualistic points of view in this dialogic soliloquy. It continues,

"Such as?"

"Oh--'But on the Other Hand,' or 'Tu As Raison Aussi.'"

I always know who I am; that's the important thing."<sup>6</sup>

A borderline case of this characteristic state of reflective struggle between But on the Other Hand and Tu As Raison Aussi presents itself in Richard III's last monologue. The medium of reflection is here a second personality called Richard, and his



properties of a fool, a villain, a liar etc. are easily established.

What? do I fear myself? there's none else by;  
Richard loves Richard, that is, I am I.  
 Is there a murderer here? No; yes, I am:  
 Then fly; What from myself? Great reason: why?  
 Lest I revenge. What? Myself upon myself?  
 Alack, I love myself. Wherefore? For any good  
 That I myself, have done unto myself?  
 O no. Alas, I rather hate myself.  
 For hateful deeds committed by myself.  
 I am a villain: yet I lie, I am not.  
 Fool, of thyself speak well: fool, do not flatter.<sup>7</sup>

We may say, then, that the concept of reflection, as expressed through the materialization of a particular medium, will have to be dealt with in terms of two contradictory circumscriptions which, at the same time, complement one another. In one case, we understand the medium to be the thing in which the hero is seen to reflect himself, or is being reflected. In the second instance, we look at the same particular medium as the representative of the personality who during the course of reflecting state, or state of reflection, emerges, or is being "realized."

In discussing and comparing the examples so far given we make no phenomenological distinction regarding the aspects of reflection and double existence of hero in each case. Richard's split in two takes place at the very moment when he attempts to maintain, or to reinforce the fact that le moi est un, the Dangling Man's double existence is established by provoking the Spirit of Alternatives. Sosias' Du gets out of hand as the result of such reflective pro-





vocation, and Господин Голядкин, like the hero from the scene of La belle image, is incapable of preventing the materialization of his twin, of keeping him framed in the mirror.

We note, to be sure, a difference of degree of scope and of complexity in the various pairs. We would be inclined to say, from a "realistic" point of view, that Richard is "not really" two persons, that the Dangling Man's dialogue is "actually" just a self-conversation, as is Sosias' fictional audience with Alkmene. But in applying the same logic we could also say that "the same Mr. Golyadkin" does not actually stand in the doorway, and that the hero is probably right in looking at this apparition as if it were his image in the mirror. In each case, however, the recorded

text distinctly expresses, although in self-contradictory fashion, a manifest presence of two persons of one personality. There are two Richards in "Richard loves Richard;" one is the subject who loves, and one is the object of this love. And although, as in the scene from Dangling Man, the double does not concretely take shape, yet he is present and can be described in terms of manifest properties he possesses.

The dualism of the medium of reflection can be described in yet another way. Insofar as it "mediates" a personality, the medium is a "container;" and because it possesses mirroring properties, it functions as a reflector. A tale from India has it that a foolish demon who sees his reflection in a mirror which a trickster holds up to him is convinced that he has been captured.<sup>8</sup> As a container, the medium reflects here the spontaneous captivity of the self, and as a reflector it duplicates the hero. A quite



heterogeneous example shows the same dualistic distribution.

In psychischem Sinne müssen wir die Eigentümlichkeiten des chinesischen Zauberspiegels, nämlich, daß er das Innere des Menschen zeige und die daselbst lauernden Krankheitsdämonen, oder mit anderen Worten, die verdrängte tierische Schichte der Psyche erkennbar macht, als wahr annehmen. Eine . . . bezeichnende Konstellation ergibt sich, wenn die Abspaltung als personifiziertes Tier oder Dämon ejiziert wird . . .<sup>9</sup>

The first part of this statement describes the medium as container of particular properties, the second part as the reflector of distinctly new personalities.

As far as one can tell from these examples, duality and double existence increase in scope (with the double becoming more "realistic,") along with an increasing complexity in the appearance of the particular medium: where a concrete medium of reflection is obviously absent (Richard III, Dangling Man), double existence remains a literary matter, a matter of words, or "ideas;" conversely, where the constitution of the medium is determined by a number of different, or contradictory material things, the double is likely to materialize and emerge as a self-contained twin, as the case of Golyadkin has shown (doorframe, mirror).

In more complex situations of reflective doubleganger, the medium can thus be represented by things which may eventually attain the quality of mirroring the Other One, as well as by personalities. Because the medium represents the container of double existence on the one hand, and the manipulator of reflection in such state of existence on the other, these personalities duplicate, not





merely the Original Person and his singleness, but also the very state of reflection in which he finds himself involved at the time.

A very pertinent example of such manipulation of reflective struggle is Paul Valéry's "Ebauche d'un Serpent."<sup>10</sup> In this poem the serpent is not only the speaker, but also the mouthpiece of the two ultimate forces or personalities which it seems to manipulate: the Divine and the Diabolic.<sup>11</sup> In verse 8, they are seen face to face in the mirror:

Object radieux de ma haine . . .  
 Regardez-vous dans ma ténèbre!  
 Devant votre image funèbre,  
 Orgeuil de mon sombre miroir,  
 Si profond fut votre malaise  
 Que votre souffle sur la glaise  
 Fut un soupir de désespoir!<sup>12</sup>

Thus, the confrontation of Deus and Diabolus takes place in the words of the Serpent, while simultaneously the Serpent identifies itself with speculum, as the medium of reflection. "Je suis Celui qui modifie," says the Serpent (or the mirror?) a little later in the poem, "Je retouche au cœur qui s'y fie, D'un doigt sûr et mystérieux . . . ."<sup>13</sup> This statement is very much a universal description of the medium of reflection, but also of projection, appearance, and conflict of doubleganger. For like the Serpent-mirror in "Ebauche," the medium of reflection constantly changes, alters, manipulates, transforms; it must be understood as the principle of modification of the self: Celui qui modifie is that which induces modification from oneness into twoness, from twoness into oneness. At the same time, like the Serpent-mirror in





"Ebauche," Celui qui modifie is ambiguously composed of two contradictory forces, thing and personality. It is through this split, or twofold representation of Celui qui modifie in terms of "matter" and "organ," that we perceive indicative properties of the double, such as shadow, hallucination, image, and the like. At the same time, we understand the phenomenological link of these with concepts such as twin-existence, fraternal pair, mirror-twin identity, and so on.

The following passage is a case in point. Here, the concept "mirror-twin double" exemplifies the dubious and duplicate constitution of the medium of the self's reflection. The concept itself consists of mirroring matter and reflecting organ in a hyphenated unit. It contains the double, while at the same time it establishes the dominating property of this double's appearance and reaction as that of a mirror-twin. Doubleganger in an episode of this kind are consequently expected to appear as a twin-existence of sorts. Accordingly, the state of reflection should be duplicated by seeing the self mirroring himself in the other personality, as well as personifying himself in the mirror.

The resemblance made me slightly sick, reminding me of moments when, passing a shop window, I had suddenly seen my own reflection, and the man in the mirror had been a grotesque caricature of what, conceitedly, I had believed myself to be . . . .

He was the first to break the silence. "You don't happen to be the devil, by any chance?"

"I might ask you the same question," I replied.

"Here a moment . . . ."



He took me by the arm and pulled me closer to the counter, and although the mirror behind the bar was steamy, and partly hidden by glasses and bottles . . . it showed us plainly enough to be standing together, straining, anxious, searching the mirrored surface as though our lives depended upon what it had to tell. And the answer was no chance resemblance, no superficial likeness . . . ; it was as though one man stood there . . . .

He asked for two finés, and we moved with one accord to the further end of the counter, where the mirror was less steamy and the pushing crowd less dense.

We might have been two actors studying our make-up as we glanced from the looking-glass back to one another. He smiled and I smiled too; and then he frowned and I copied him, or rather copied myself; and he arranged his tie and I arranged mine . . . .

He ordered two more finés. Nobody seemed surprised at the resemblance. "They think you're my twin brother here at the station to meet me," he said. "Perhaps you are. Where are you from?"<sup>14</sup>

The concept of reflection is most commonly associated with the mirror, or looking glass. This association is superficial because it indicates merely a particular visual, and ideal, aspect of reflection. We have seen that reflection is not only an optical state, but a state of mind as well. The mirror helps to clarify the situation, however, because it can serve in all cases of reflection as a metaphor. For any medium of reflection must possess mirroring properties in order to function as such a medium. And any medium of reflection, be it a person, fingernail, a rock, or





the sun<sup>15</sup> must possess the capacity of a reflector. It is evident that the mirror is the ideal of these capacities.

However, when engaged in reflection, the mirror is no longer mirror per se; it has been changed profoundly by the content of an image. To call this new phenomenon "image plus looking glass" is clearly an inadequate description, because it is an analytical addition of two concepts and does not convey the unity of the phenomenon in question. Thus described, "image" and "looking glass" are separate entities and, to the reflecting mind, quite independent of each other. In this sense, then, the latter would be some matter with a smooth or shining surface capable of conveying something called "image" but not essentially containing it. The phenomenological fact is, though, that even the idea of "looking glass" already contains potentially the realization of "image" in some form. In other words, the idea of "looking glass" and the idea of "image" form a phenomenological unit when a self is confronted with the mirror, that is to say, when the mirror is engaged in reflection. "Image" and "looking glass" are two complementary concepts in this instance. In order to be able to distinguish these concepts from the actuality of "image" and "looking glass" I have called them umbra and speculum.

Thus, if umbra is a phenomenological content of speculum then it unites rather than separates "mirroring surface" and "expression of image" (and of course it does so semantically, as shall be demonstrated shortly). Umbra and speculum are then partial notions of the medium of the self's reflection. In written accounts, they are pendants which complement one another in the state of reflection.



Wherever such state is described, it becomes a phenomenological necessity for both to be present in one entity.

The classical example from Metamorphoses III, 416-417, is a case in point.

dumque bibit, visae correptus imagine formae  
 spem sine corpore amat, corpus putat esse, quod umbra  
 est . . . .<sup>16</sup>

In this brief "confrontation" the presence of speculum can be affirmed only by implication; but the use of "bibit" justifies this assumption because it implies not only the liquid but also its surface and hence the properties of a "mirror." Yet the reflecting surface no longer matters, since it has been superseded by imago visae formae, or spes sine corpore, surface and image have become one. In this sense umbra, as used above, contains speculum: Narcissus putat corpus esse, quod aqua est.

In the following example, the word sôt represents speculum to begin with. sôt is a well, more specifically the container of a shining surface which is capable of reflection.

. . . vor dem tor sach er stan/  
 einen sot tief unde wit  
 da sach er in/ daz gerowin sit  
 sinen scatin er drin/ ne gesach  
 ein michel wunder nv/ gesach . . .

Reinhart wande sehin sin wib  
 div was// ime lieb alsam der lib . . .

Reinhart lachete darin  
 do zan/ nete der scate sin<sup>17</sup>





But during the actual confrontation the mirror has vanished and the "shadow" plays the major rôle. The context uses umbra in a way which suggests very strongly the unity of "surface and image:" wande sehin sin wib no longer proposes the presence of a mirror, let alone the presence of water in the well. The use of the well as a mirror is reminiscent of the notion that the mirror is a "vessel." OHG scucar or scuchar (= speculum), actually "schattenbehälter," i.e. "container of shadows," is an excellent example of this concept.<sup>18</sup> The "practical" application of such a vessel may briefly illustrate its function: "Das niederdeutsche Mädchen sieht am Andreastage, nackt vor dem Spiegel stehend, das Bild des Geliebten; am Sylvesterabend oder am Andreasstage kann in Dées das Mädchen den zukünftigen Gatten sehen, wenn sie sich splitternackt auszieht, das Zimmer verfinstert, in die Mitte des Zimmers einen Zuber Wasser stellt und hineinschaut."<sup>19</sup> The counterpart of this concept is provided by the use of speculum as "image," "sample," "example," ebenbild, etc.<sup>20</sup>

The connotations of scate in this case are as complex as those of umbra in the previous example. The word occurs as an object (line 4) and a subject (last line). The dominating meaning in the first instance seems to be "reflection," but reflection in a total sense, a mirror identity consisting of umbra and speculum. "He beheld his image in the well:" there is no presence of speculum here; it is absorbed by the function of sôt, as well as by the appearance of scatin as a total of both reflector and reflected image.

In the second use of scate the meaning of "twin-personality" seems





to dominate. Reinhart is now confronted with a type of reflection who is capable of his own actions, as it were. Reinhart smiles, "his shadow mimics." Needless to point out, the meaning of "mirror" and "image" is also immanent in this instance.

But there is a third meaning of scate in this example, though the word itself does not occur in the particular fraction of the context. I mean the connotation of "hallucination." For to what other phenomenon could one ascribe the fact that he "wande sehin sin wib?" Reinhart hallucinates, and scate is his hallucination. The medium of the self's reflection in this example can therefore be described by a group of concepts which consists of six prominent types: (1) The shadow, (2) the reflection, (3) the image, (4) the hallucination, (5) the mirror, (6) the twin.

The use of umbra and scate in the two examples has shown that the concept of "shadow" can be, and in the case of reflection must be, understood in a sense in which this concept comprises the combination of reflection-image-hallucination-mirror-twin as its universal meaning. Semantically this is evident in the use of umbra in many languages. Shadow means in English, among others, "a reflected image," "an unreal appearance; a delusive semblance or image . . . ." "It can be applied rhetorically to a portrait as contrasted with the original;" "an imitation, a copy; a counterpart;" and lastly, "a spectral form, phantom."<sup>21</sup> Gr. σκιά is of the same Ie. stem as "shadow" and scate. There is evidence of its use for "double" (phantom, spectre).<sup>22</sup> The same is true for the use of French ombre, since mediaeval times.<sup>23</sup> The connotation of "mirror identity" can be found in NHG Schatte, Schatten, that of "apparition," "phantom," "ghost," and "image" in Russian тень.<sup>24</sup>



In the sense in which umbra and speculum, as aspects of reflection, are pendants, the concept of reflection postulates that "shadow" contain "mirror" or that "mirror" contain "shadow," and if the context in question does not allow for ambiguity in either form, it must be expected that each representative of umbra is immediately linked with a complementary representative of speculum and vice versa. One example may suffice to illustrate this for the time being, namely that of Peter Schlemihl who most studiously avoids going "in the sun" (speculum) or walking "in the moon" (speculum) in order to conceal the absence of his shadow.<sup>25</sup>

The various possible literary forms of umbra and speculum which thus comprise the medium of reflection must be understood, at the same time, as designating the properties of the double. Another brief, but typical example may demonstrate this unity and identity of mirroring medium, and the properties of the double, in the self's state of reflection. Richard III, descanting on his own deformity ( . . . I, that am not shaped for sportive tricks, Nor made to court an amorous looking-glass . . . Have no delight to pass away the time, Unless to see my shadow in the sun . . . I, i), sees his shadow "in the sun," which sun he identifies with speculum elsewhere:

Shine out fair sun, till I have bought a glass,  
That I may see my shadow as I pass.<sup>26</sup>

The reflection happens nebeneinander: the hero perceives speculum (sun and glass) and umbra (shadow) at the same time in that he reflects in them; conversely, he is being reflected to become the Other One in that he perceives himself in the "ineluctable modality of the visible," while the nebeneinander of medium-container and





double-content produces an I-he relationship both in the reflecting self and in the reflected scene.<sup>27</sup>

The duality of reflection can thus be explained as an analytic division in two aspects in the mind of the observer. On the one hand reflection designates the self's attitude in the state of confrontation with the medium, on the other hand the term describes the total of the self's vis-à-vis; one "reflection" is looked at as umbra, something which "howsomever" returns as an image of the confronted self,<sup>28</sup> the other reflection represents, in such confrontation, something going on within the self itself, as he forms the idea of speculum.

A brief example may clarify this. A whiskey bottle may operate as the medium of his reflection as the hero is confronted with it. A full bottle may likely function as speculum of a sober drunkard, an empty one of a dissatisfied convalescent from alcoholism. In the latter case the empty bottle would mirror the reformed hero's dissatisfaction and emptiness, his "love" for something he denies himself. Exactly these circumstances occur in Malamud's A New Life, where "S. Levin, formerly a drunkard," wanders in the street, mirroring himself in the dummy bottles of tavern show-cases, facing "Not-Levin" and desiring to be he.

. . . his eyes glazed as he gazed through glass,  
thirsting to dive into a whiskey bottle . . .  
To feel the sudden spirit of soar. To be in peace  
not Levin. To lie pickled thirstless, satisfied.  
Wandering he cast love-sick glances at both  
brown-bottled tavern windows, drunk with emptiness,  
wrenching himself along in rectangular circles,



until broken by weariness he pushed through a door and stood solemnly at a bar.

"What'll it be?" said the hairy bartender.

"Love," Levin said,  
and as the man looked for the bottle, fled.<sup>29</sup>

The medium of the self's reflection depicts his state of "within," regardless of how this "within" is divided, in interpretive terms, into biological, anatomical, psychological, spiritual, intellectual, emotional aspects and the like. Conversely, by looking at the medium-matter as conveying properties, or features, or traits, of the double we behold the former drunkard, the Nichtich whose existence through the very satisfaction of his craving love for the brown liquid denies the languishing hero and his sober state. The case should be closed at this point because further discussion of this dialectic interplay would require an insight into the mechanics of projection. This aspect of confrontation is to be discussed in the following chapter.

The frequency of mirroring properties in the above passage is noteworthy, however. Mirroring properties may be defined as those traits or characteristics of logoi, or the material these logoi represent, which indicate their capability of reflecting the self. The sequence abounds with such words: "eyes," "glass," "whiskey bottle," "brown-bottled tavern windows," "bar," "bottle." It must be pointed out, in this connection, that the "glassy" or "glittering" state of reflecting matter is only an ideal state of mirroring properties. As was mentioned above, surfaces which are not in the least "shining" surfaces are capable of reflecting the self. In Spiegelzauber, Géza Roheim has made a very thorough investigation





of things or matter capable of replacing the mirror. In many instances one finds that although a dull surface has been wetted or oiled to make it "shining," it is still incapable physically of reflecting recognizable forms or images. "Die Rolle des mit dem Spiegel abwechselnden Fingernagels," as well as the palm as a mirror substitute, are examples: "Vom Standpunkt des Narzissismus ist der Nagel ein besonders geeignetes Objekt, denn ausser der spiegelnden Fläche wird ihm noch ein Libidozuschuß, durch die Zugehörigkeit zum eigenen Leibe, zuteil. Bezeichnend ist des Schweizer Volksglaube, ein Kind, das noch nicht in den Spiegel geschaut hat, könne in der linken Handfläche das eigene Antlitz schauen."<sup>31</sup> Yet in literary reality such surfaces possess mirroring properties: they function as media of reflection. Endless varieties of appearance of speculum are possible, from shining parts of the human body, oiled or wetted areas of the skin, fingernails, eyes, to the human body as a whole:

Die Rolle des zweiten Spiegels kann auch einem Menschen zufallen. Die Syrjanen nennen folgendes Verfahren "viit't'sem" nämlich Schauen. Zwischen zwei Tische setzt man einen Mann auf einen niederen Stuhl und zündet neben ihm zu beiden Seiten Wachskerzen an. Wer in die Zukunft schauen will . . . hält über dem Haupt einen Spiegel, in welchem das Gesicht des zwischen den Tischen sitzenden Mediums sichtbar ist. Wenn sich auf dem Gesichte schwarze Linien zeigen, wird der in die Zukunft Schauende . . . sterben . . . .<sup>32</sup>

In the way in which these mirroring properties are closely associated with the component of speculum, they determine in part the material appearance of the medium of the self's reflection; but





only through their interaction with the component of umbra will the shape of the medium become complete, and the properties of the double appear. This interaction of umbra and speculum expresses itself in six prominent types which establish (a) the medium, (b) the properties of the double, and (c) the circumstantial environment.

The medium of the self's reflection, and the properties of the double, are thus determined by an infinite variety of possible combinations of the shadow, the reflection, the image, the hallucination, the mirror and the live twin. Since they always appear in combined form, it must be accepted that they are phenomenologically interlinked and hence represent an inseparable and inseverable group of concepts, or a phenomenological wirkungskreis. A number of examples will explain this. The type "reflection" is not included in this enumeration because it is so obviously present in all of the following passages.

(a) The medium

(1) shadow

The dominating type in the following examples of states of reflection is the shadow.

But I, that am not shaped for sportive tricks,  
Nor made to court an amorous looking-glass . . .

Have no delight to pass away the time,  
Unless to see my shadow in the sun  
And descant on mine own deformity . . .<sup>33</sup>

"Mirror" is negated qua "looking-glass" in this instance; yet it is there beside the "shadow" as a complement of the medium



of reflection: "sun" is, of course, speculum. At the same time "shadow," as used in this context, is itself the "reflection."

. . . dumque bibit, visae correptus imagine formae  
spem sine corpore amat, corpus putat esse quod umbra est.  
adstupet ipse sibi vultuque inmotus eodem  
haeret . . .<sup>34</sup>

This scene, too, is dominated by "shadow;" but umbra must be understood in the sense in which it was said to be the pendant of speculum. "Image" and "reflection" are again present, "hallucination" is suggested.

In the next passage "shadow" again dominates.

Does any here know me? This is not Lear.  
Does Lear walk thus? speak thus? Where are his eyes?  
Either his notion weakens, his discernings  
Are lethargied--Ha! waking? 'tis not so.  
Who is it that can tell me who I am?

Fool. Lear's shadow.<sup>35</sup>

Here, the medium of Lear's reflection is the personality of the Fool. And as this personality attains the mirroring properties, or functions as speculum, it is he who mirrors question and answer. Thus the Fool is, nebeneinander, the competent reflector of Lear's not being Lear and the personification of Lear's shadow, capable of telling him who he is.

In the following example the word "shadow" is replaced by the adjective "shadowy." But the type "shadow" is still prominent, and is here linked with the entire wirkungskreis: The Other





One appears as a "live twin" and this appearance is modified as a "hallucination" as well as described in terms of "reflection," "image," and "mirror." "The shadowy, dark head, like mine, seemed to nod imperceptibly above the ghostly grey of my sleepingsuit. It was, in the night, as though I had been faced by my own reflection in the depths of a somber and immense mirror."<sup>36</sup>

## (2) image

Durant une fraction de seconde, j'eus devant moi le reflet de mes deux yeux. L'image, furtive mais nette, était celle de deux grands yeux clairs, au regard mou et rêveur, en tout différents des miens qui sont noirs, petits, enfoncés . . . .<sup>37</sup>

De temps à autre surgissait à ma mémoire l'image des deux grands yeux clairs, réfléchis par la vitre du bureau. J'en avais tout d'un coup le cœur serré d'angoisse mais aussitôt je mettais cette apparition sur le compte d'un trouble hallucinatoire . . . .<sup>38</sup>

This case again combines the entire wirkungskreis, i.e. shadow-reflection-image-hallucination-mirror with the exception of "live twin." Noteworthy is the presence of "mirror," which is represented in deux yeux, deux grands yeux clairs, and la vitre du bureau. The reason for the "absence" of "live twin" is of course that the similarity of hero and double is not one of external features. Typically, the speaker himself suggests hallucination.

A very interesting combination of mirror-image-live twin, with "image" definitely dominating the scene, comes from a stage



direction in Franz Werfel's *Spiegelmensch*: "Thamal schießt in sein Spiegelbild. Der Spiegel zerklirrt und fällt zu Boden. Aus dem Rahmen springt SPIEGELMENSCH. Er ist eine ähnliche, aber keineswegs mit Thamal identische Figur."<sup>39</sup>

This example is more difficult to analyse in the present context because there is a great deal of action going on. Yet one might arrest this movement by simply looking at the two consecutive states of reflection. In that sense, the hero is confronted with a mirror containing his image. In the second instance, the mirror is gone and the self is now reflected in an animated umbra. It is significant that this shadow-existence should bear the name Spiegelmensch, so that by virtue of this name the type live twin is reinforced, which is otherwise contradicted by the concluding statement.

### (3) hallucination

Two examples follow in which hallucination is the dominating type of the wirkungskreis. "Plötzlich kam es Maupassant vor, als wenn die Türe geöffnet würde. Er dreht sich um und zu seinem größten Erstaunen sieht er, wie seine eigene Person eintritt und ihm gegenüber Platz nimmt, den Kopf in der Hand haltend. Alles, was er schreibt, wird ihm diktiert. Als der Schriftsteller mit der Arbeit fertig war und aufstand, verschwand die Halluzination."<sup>40</sup>

Of the six types, only hallucination and live twin are manifest in this passage. But it can easily be seen that reflection, image, and shadow are implied. The same is true of Goethe's hallucination of meeting Goethe on horseback (as he reports this incident in Dichtung und Wahrheit), al-





though hero and double are slightly dissimilar in this case.

"Ich sah nämlich, nicht mit den Augen des Leibes, sondern des Geistes, mich mir selbst, denselben Weg, zu Pferde wieder entgegen kommen, und zwar in einem Kleide, wie ich es nie getragen: es war hechtgrau mit etwas Gold."<sup>41</sup>

In the third example, hallucination and reflection are identical: an as-if perception of the "other" self requires the act of reflection.

A "thought" belonging to the "other" self tends to have some of the quality of a perception since it is received by the experiencing self neither as a product of its imagination nor as belonging to it. That is, the other self is the basis of an hallucination. An hallucination is an as-if perception of a fragment of the disintegrated "other" self by a remnant (self-focus) retaining residual I-sense . . . . Moreover, the self-self relationship provides the internal setting for violent attacks between warring phantoms inside . . .<sup>42</sup>

#### (4) mirror

Although very short, the next sequence combines the total wirkungskreis. Mirror and hallucination are the dominating types. "In Tarnawo bei Rogasen sieht man, wenn man am Weihnachtsabend in den Spiegel schaut, seinen Doppelgänger oder sein anderes Ich."<sup>43</sup>

The word Doppelgänger, as it is commonly used, implies "mirror-twin likeness," while das andere Ich marks the dissimilarity of the double. "Shadow" is immanent in both, "reflection" is obvious and yet modified by strong hallucinatory implications.





The narrator in the following passage is the personified Soul. In this example, there is a complete identity of the medium of reflection and the properties of the double. Both are, predominantly, Spiegel.

Und mein lichtiges Kleid, welches ich abgelegt hatte, und die mit demselben zusammengefaltete Toga hatten meine Eltern dorthin gesandt. Und da ich mich meiner Gestalt nicht erinnerte--denn in meiner Kindheit hatte ich es in meines Vaters Haus zurückgelassen--so schien mir plötzlich das Gewand, als ich es mir gegenüber sah, gleich einem Spiegel meiner selbst zu werden. Ich sah es ganz in mir, und ich hatte mich ganz in ihm gegenüber, denn wir waren zwei von einander unterschieden und doch wieder nur eins, in gleicher Gestalt.<sup>44</sup>

#### (5) live twin

In the following four examples, the hero reflects in the medium of a live twin. The double's dominating property is that of a twin brother. In all examples, Mr. Golyadkin I is the speaker, rationalizing, as it were, his double state.

Знаете ли, этак иногда близнецы бывают, то есть совершенно как две капли воды так что и отличить нельзя? Ну, вот я про это-с.<sup>45</sup>

Ведь вот, для примера, кстати сказать, слышали, надеюсь, как их, как бишь их там, да, сиамские близнецы, срослись себе спинами, так и живут, и едят, и спят вместе; деньги, говорят, большие берут.<sup>46</sup>

Ну, рассулим, посмотрим. Ну, давай рассуждать, молодой друг мой, ну, давай рассуждать. Ну, такой



же, как и ты, человек, впервых, совершенно такой же. Ну, да что ж тут такого? коли такой человек, так мне и плакать? Мне-то что? Я в стороне; свишу себе, да и только! На то пошел, да и только! Пусть его служит! Ну, чудо и странность, там говорят, что сиамские близнецы . . . Ну, да зачем их, сиамских-то? положим, они близнецы, но ведь и великие люди подчас чудаками смотрели.<sup>47</sup>

Ну, да, положим, например, что мы близнецы, что вот уж мы так уродились, что братья-близнецы, да и только,--вот оно как! Ну, что же такое? Ну и ничего! Можно всех чиновников приучить.<sup>48</sup>

These examples may suffice to demonstrate how the *wirkungskreis* of shadow-reflection-image-hallucination-mirror-live twin operates.

(b) The properties of the double

In a combined form, these six types determine the medium in which the hero reflects as well as the properties with which the double appears. As has been shown, any of the six types may dominate the scene. It would be a rare case, however, in which only one type of the wirkungskreis accompanied the state of reflection. The various types have always been seen to interact in forming the medium or in making the double appear. A universal description of this observation so far would be that the properties of the double emerge during such interaction, with the dominant type forming the medium, or, conversely, that the medium consists of a combination of the six components with the dominant type representing the double.





## (c) The circumstantial environment

Having observed so far how the interaction of umbra and speculum establishes the medium and the properties of the double, we now turn to the circumstantial environment, or setting, in the state of reflection. The model setting would be that the hero is placed, or places himself, between a source of light and a medium in which to receive his reflection. When Richard sees his "shadow in the sun," this seems to be the case. But already here, the literary reality seems to upset the notion of between. (According to the severed context, speculum, i.e. sun, contains umbra).<sup>49</sup> This is even more obvious in an example already quoted above: "Je finis par surprendre le contour assez vague d'une tête et, épars, quelques traits du visage. Dans ces fragments de lignes et de relief, je ne reconnus rien de moi. Soudain, un employé se déplaça derrière la vitre et, masquant une lampe assez éloignée, modifia ainsi légèrement l'éclairage. Durant une fraction de seconde, j'eus devant moi le reflet de mes deux yeux."

In this case, the source of light is beyond the medium (pane), so that it is the medium which is between. And yet the two cases are similar, because the source of light has to be "shared" in order to produce an Other One. Sosias' lantern in Amphitryon I, 1 combines mirroring properties (pane, glass) and source of light; it is evident in this case that lamp-Alkmene is between the aspects of Ich-Sosias and Du-Sosias.

Careful analysis will show that this phenomenon in reflection is universal. Where speculum appears divided in source of



light and mirroring properties, the appearance of the double will be momentary, insubstantial, minute, vague. The component of umbra will correspond, in every respect, to the substance of speculum, as expressed in the combination of source of light--mirroring properties. "Wer mit einer Kerze in der Hand in den Spiegel schaut, über dessen Schulter schaut entweder der Tod oder der Teufel."<sup>50</sup>

The hero's between position is irrelevant in this respect. This can go so far that, when he actually assumes this position between potential mirror and source of light, no reflection-image-shadow is forthcoming. In the following scene the component of speculum is not only divided in two, as was shown before, but the source of light itself is split up once more (deux lampes, huit bougies).

J'avais allumé mes deux lampes et les huit bougies de ma cheminée, comme si j'eusse pu, dans cette clarté, le découvrir.

En face de moi, mon lit, un vieux lit de chêne à colonnes; à droite, ma cheminée; à gauche, ma porte fermée avec soin, après l'avoir laissée longtemps ouverte, afin de l'attirer; derrière moi, une très haute armoire à glace, qui me servait chaque jour pour me raser, pour m'habiller, et où j'avais coutume de me regarder, de la tête aux pieds, chaque fois que je passais devant.

Donc, je faisais semblant d'écrire, pour le tromper, car il m'épiait lui aussi; et soudain, je sentis, je fus certain qu'il lisait par-dessus mon épaule, qu'il était là, frôlant mon oreille.





Je me dressai, les mains tendues, en me tournant si vite que je faillis tomber. Eh bien? . . . on y voyait comme en plein jour, et je ne me vis pas dans ma glace! . . . Elle était vide, claire, profonde, pleine de lumière! Mon image n'était pas dedans . . .<sup>51</sup>

Image, not mirror, dominates this scene, for the empty mirror is the reflection of the confronted self! The double is a wraith.<sup>52</sup>

When speculum is not present in this typical division into source of light and mirroring matter, the circumstantial environment is dominated by umbra. In these cases the setting usually coincides with darkness, night, twilight, shadowy atmosphere, sleep, dream, lack of substance and so on. The medium appears then usually in animated form, the double is often represented as a personification of one or several types of the wirkungskreis. In this way the hero reflects in a personality who possesses mirroring properties, so that speculum is not manifestly, but latently present. This is the case in an example already given above, though it was then looked at from a different point of view. "The shadowy, dark head, like mine, seemed to nod imperceptibly above the ghostly grey of my sleepingsuit. It was, in the night, as though I had been faced by my own reflection in the depth of a somber and immense mirror."

In a way, the mirror is still manifest because the comparison is made by the speaker, ". . . as though I had been faced by . . . ." More often than not, however, there is no verbal suggestion of mirroring properties, while umbra is always





alluded to. One example in this respect would be the passage quoted above from King Lear I, 4. More typical is the following passage. ". . . der kunstreiche Dädalos errichtete das wohlgetroffene Bildnis des Herakles zu Pisa in Elis. Der Held selbst aber, als er einst dorthin kam, hielt das Bild, von der Dunkelheit der Nacht getäuscht, für belebt. Seine eigene Heldengebärde erschien ihm als das Drohen eines Feindes . . ."53

There is here an outright denial of the mirroring properties by the hero. The type shadow, in terms of night-twilight-gloom, dominates the setting. Characteristically, the medium, which is determined by the dominating type image, appears animated, from the hero's point of view, and the participation of the entire wirkungskreis, including that of "live twin," is evident.

An attempt can now be made to sum up all particulars and to give a universal description of the self's state of reflection in literary reality. The primary condition is that the hero is found confronting a medium, or, where such confrontation is not literally possible (for example when the medium is the hero's own body or a part thereof), that a relationship exists between hero and medium which is reminiscent of confrontation. The hero's attitude is passive: he perceives, as he is being reflected. The medium may appear in animate or inanimate form, or in combination of both. Its phenomenological components are umbra and speculum, which express the dialectical interplay between hero and medium.

This interaction of umbra and speculum corresponds, in literary



terms, with an interaction of an entire wirkungskreis of six functional aspects or types which determine in a variety of combinations the circumstantial environment in the self's state of reflection, the constitution of the medium, as Celui qui modifie, and the properties of the double. The shadow, the reflection, the image, the hallucination, the mirror, the live twin, in whatever combination they may occur, are the literary and phenomenological symptoms of a hero's reflection and double state.





## FOOTNOTES

<sup>1</sup> Marcel Aymé, La belle image, Paris, 1941, p. 14.

<sup>2</sup> *ibid.*

<sup>3</sup> Ф. М. Достоевский, Собрание сочинений, Москва, 1956, Vol. I, p. 299; hereafter cited as Двойник.

"In the doorway to the next room, behind the waiter's back, his face turned toward Mr. Golyadkin, in the same doorway which our hero had previously taken for a mirror, stood a man, --stood he, stood Mr. Golyadkin himself,--not the old Mr. Golyadkin, not the hero of our tale, but the other Mr. Golyadkin, the new Mr. Golyadkin."

(All translations are mine unless otherwise indicated).

<sup>4</sup> For the choice of Kleist over other authors see below, footnote 5.-- Örjan Lindberger, in The Transformations of Amphitryon (Stockholm, 1956, p. 72) remarks on this subject: "In this manner, Sosie's great monologue contains . . . four parts: one, the poltroon who is afraid of the dark; two, the courteous servant talking to, three, his mistress; and, four, Sosie who applauds the messenger's well-turned phrases." My point is, though, that the "poltroon" becomes Ich-Sosias and Du-Sosias at the very moment the lamp is put down to represent Alkmene. In this, Kleist's scene is almost identical to Molière's but for the fact that Kleist has Sosias actually refer to himself by name and person so as to emphasize the split.

<sup>5</sup> Heinrich von Kleists Werke, ed. Georg Minde-Pouet, 2nd ed., Leipzig, 1936, Vol. III, Amphitryon, pp. 4-5.--

"When it comes to explaining why Kleist differs from Molière," says Lindberger, "One is reduced to more or less definite assumptions." (p. 122). There are, in this particular scene,



<sup>5</sup>(continued) no notable structural differences and the content is more or less the same. My reason for choosing Kleist is that in his scene the split in two Sosias is more emphatic. This is best observed in the remarks which are made by Ich-Sosias or "the first" Sosie about the messenger-Sosie's soliloquy before Alcmène-Alkmene. For while Sosie refers to the messenger's effort as "mon rôle," as conceived by "mon esprit," Sosias clearly attributes the accomplishment to another person whom he addresses in the second and third person singular and whom he calls by name:

Molière: Pour jouer mon rôle sans peine,  
Je le veux un peu repasser.

Kleist: Doch wär'es gut, wenn du die Rolle übstest!  
Gut! Gut bemerkt, Sosias! Prüfe dich.

Molière: Fort bien! Belle conception!

Kleist: --Sieh! das ist auch nicht übel!

Molière: Peste! où prend mon esprit toutes ses gentillesse?

Kleist: --Ein Blitzkerl! Seht die Suade!

(Oeuvres de Molière, eds. Eugène Despois and Paul Mesnard, Paris, 1881, Vol. VI, pp. 367-8).

<sup>6</sup>Saul Bellow, Dangling Man, New York, 1964, pp. 134-5.

<sup>7</sup>William Shakespeare, The Tragedy of Richard the Third, V,iii, 214-24. References to Shakespeare's Works are made in this instance and hereinafter on the basis of A new Variorum Edition of Shakespeare, 25 Vols., Philadelphia, 1899-1955.

<sup>8</sup>Stith Thompson, Motif-Index of Folk-Literature, Bloomington, Ind., 1955, Vol. IV, p. 150.

<sup>9</sup>Géza Roheim, Spiegelzauber, Leipzig, 1919, p. 186; hereafter cited as Spiegelzauber.

<sup>10</sup>Paul Valéry, Oeuvres, ed. Jean Hytier, Paris, 1957, Vol. I, pp. 138-146.





- <sup>11</sup>For a detailed study of this problem compare Elizabeth Sewall, Paul Valéry. The Mind in the Mirror, Cambridge, 1952, in particular pp. 42-9.
- <sup>12</sup>"Ebauche," verse 8.
- <sup>13</sup>"Ebauche," verse 10.
- <sup>14</sup>Daphne du Maurier, The Scapegoat, Harmondsworth, 1957, pp. 12-13.
- <sup>15</sup>Fragments of any matter, or any material as a whole may function as speculum. In Spiegelzauber, Roheim quotes examples in which stones, pieces of glass, wells, ponds, rivers, swords, golden apples, eggs, and heavenly bodies possess mirroring properties. (pp. 26-31)
- <sup>16</sup>Ovid, Metamorphoses, ed. Frank Justus Miller, London, 1916, Vol. I, p. 152.
- <sup>17</sup>Das mittelhochdeutsche Gedicht vom Fuchs Reinhart, ed. Ingeborg Schröbler, second edition, Halle, Saale, 1952, p. 34.  

" . . . before the gate he saw a well which was large and deep. He looked into it. He had to regret that later. He saw his shadow (image) in it, whereupon a great miracle happened . . . Reinhart imagined to behold his wife whom he loved as he loved himself . . . Reinhart laughed 'into it,' whereupon his shadow (image) mimicked."
- <sup>18</sup>Oskar Schade, Altdeutsches Wörterbuch, Halle, 1882, p. 809b:  

" . . . eigentlich Schattengefäß, Gefäß worin sich der Schatten od. Abschein eines Menschen zeigt."
- <sup>19</sup>Spiegelzauber, p. 141.
- <sup>20</sup>This is particularly evident in the use of spiegel in mediaeval German.  

(a) image

"du bist gelîch dem spiegel: ob der enzwei





<sup>20</sup>(continued) gebrichet joch, so schouwet  
sîn antlitze doch der mensche in den stücken."  
Konrads von Würzburg goldene schmiede, ed.  
W. Grimm, Berlin, 1840, verse 732.

(b)sample, example

"du bist ir aller spiegel." Wigalois von  
Wirnt von Gravenberg, ed. G. Fr. Benecke,  
Berlin, 1819.

Even spiegelglas ("looking glass") is used in the sense of (a)  
and (b):

"der sun des vaters spiegelglas . . ."  
Die erlösung, ed. Karl Bartsch, Quedlinburg,  
1858, verse 1036.

An example for the identity of the mirror with the image is  
the fairy tale of a Raven-prince who steals the mirror of a  
faraway princess and with it her image. (Spiegelzauber,  
p. 149). In this instance, umbra and speculum are one entity.

<sup>21</sup>The Oxford English Dictionary, ed. J.A.H. Murray, H. Bradley  
et. al., Oxford, 1961, Vol. IX, pp. 590c-591b.

<sup>22</sup>As in Euripides' Andromache, 745: "οὐκ ἄντιστοιχος ὥς . . ."  
"like the shadow that is one's double." Compare also: Henry  
George Liddell and Robert Scott, A Greek-English Lexicon,  
seventh edition, Oxford, 1901, p. 1398 a-b, where a number of  
references list the use of οὐκ as meaning "phantom." For the  
etymology of οὐκ see A. Juret, Dictionnaire étymologique grec  
et latin, Straßbourg, 1942, p. 54b.

<sup>23</sup>Altfranzösisches Wörterbuch, ed. A. Tobler and E. Lommatzsch,  
Wiesbaden, 1965, Vol. VI, p. 1085, line 31, uses the German  
Spiegelbild for ombre, adding some twenty examples from medi-  
aeval French literature, in which the word has this particular  
connotation. On p. 1086, line 15-21 Renart's confrontation



- <sup>23</sup>(continued) with his image is quoted as an example (Ren. 6618. 6620): "Renart . . . Desus le puis s'est accoutez . . . ; Dedenz commence a regarder Et son ombre a aboëter. Or l'ont dëable decëu, De son ombre qu'il a vëu, Cuida que ce fust Hermeline, Sa fame q'aime d'amour fine, Qui herbergie fust laiens etc . . . ." Compare also Harrap's Standard French and English Dictionary, ed. J.E. Mansion, London, 1934, p. 584a: "ghost, shade, shadowy figure . . . . N'être plus que l'ombre de soi-même." And, Paul Robert, Dictionnaire alphabétique et analogique de la langue française, Paris, 1959, Vol. IV, pp. 893b-895b, in particular p. 895a: "image, silhouette . . . . Reflet . . . . Ephémère."
- <sup>24</sup>Jakob and Wilhelm Grimm, Deutsches Wörterbuch, Leipzig, 1893, Vol. VIII, p. 2236, "der schatten als das bild eines körpers, entspricht den umrissen der gestalt desselben . . ." and, p. 2238, ". . . schatten bezeichnet auch das spiegelbild eines körpers;" also, Русско-Английский Словарь, ed. A.J. Smirnitsky, Moscow, 1961, p. 781b; and V.K. Müller, Russian-English Dictionary, New York, 1944, p. 695b, "от неё осталась одна тень: she is the shadow of her former self."
- <sup>25</sup>Adalbert von Chamisso, Peter Schlemihls wundersame Geschichte, Chamisso's [sic] Werke, ed. Wilhelm Rauschenbusch, 2nd edition, Berlin, 1878, Vol. II, p. 20.
- <sup>26</sup>The Tragedy of Richard the Third, I, ii.
- <sup>27</sup>This is the foremost problem of Stephen's preoccupation at the outset of the "Proteus" chapter in Joyce's Ulysses. The text in fact begins: "INELUCTABLE MODALITY OF THE VISIBLE." The nebeneinander in the I-he relationship continues throughout the chapter: "My two feet in his boots are at the end of his legs, nebeneinander." (p. 37). The text abounds with puns on the subject: "Jesus wept: and no wonder, by Christ." (p. 38). "--It's Stephen, sir.-- Let him in. Let Stephen in . . . . --We thought you were someone else" (pp. 38-9). "Other fellow







- <sup>27</sup>(continued) did it: other me . . . Lui, c'est moi. You seem to have enjoyed yourself." (p. 41). James Joyce, Ulysses, New York, 1961.
- <sup>28</sup>ibid., p. 37. "You are walking through it howsomever. I am, a stride at a time."
- <sup>29</sup>Bernard Malamud, A New Life, New York, 1961, p. 310.
- <sup>30</sup>see footnote 15.
- <sup>31</sup>Spiegelzauber, p. 27.
- <sup>32</sup>Spiegelzauber, pp. 129-130.
- <sup>33</sup>The Tragedy of Richard the Third, I, i.
- <sup>34</sup>Metamorphoses, III, 416-7.
- <sup>35</sup>William Shakespeare, King Lear, I, iv. Compare the lines "Dost thou call me fool, boy? Fool: All thy other titles thou hast given away; that thou wast born with."
- <sup>36</sup>Joseph Conrad, The Secret Sharer, in: The Shadow-Line and Two Other Tales, Garden City, N.Y., 1959, p. 129.
- <sup>37</sup>Marcel Aymé, La belle image, Paris, 1941, p. 14.
- <sup>38</sup>La belle image, p. 17.
- <sup>39</sup>Franz Werfel, Spiegelmensch, München, 1920, p. 27.
- <sup>40</sup>Otto Rank, Der Doppelgänger, Leipzig, 1925, p. 55. Rank quotes from: Paul Sollier, Les phénomènes d'autoscopie, Paris, 1913.
- <sup>41</sup>Goethes Sämtliche Werke, ed. Konrad Burdach, Wilhelm Creizenach, et. al., Stuttgart, 1902-12, Vol. XXIV, p. 64.
- <sup>42</sup>R.D. Laing, The Divided Self, Harmondsworth, 1970, p. 158.
- <sup>43</sup>Spiegelzauber, p. 154.



<sup>44</sup>From the "Hymn of the Soul," as quoted in Spiegelzauber, p. 102.

<sup>45</sup>Двойник, p. 264.

"There can be twins, you know, as perfectly similar as two drops of water, so that there is no way of distinguishing them. Well, you see, that's what I mean."

<sup>46</sup>Двойник, p. 265.

"In order to give you an example to the point: you have heard, I take it, of those, of--how do you call them--that's it, Siamese Twins, how they are grown together at the back, and how they live together, eat together and sleep together. Yet they make a lot of money, they say."

<sup>47</sup>Двойник, p. 268.

"Well let's think things over, let's look at things. Go ahead and consider it my young friend, go ahead and consider it. Well, to begin with, there is this chap, and he is like you, exactly like you. Well, now what's wrong with that? If there is such a lad, why should I weep over it? What's it to me? I stay away from him; I don't give a hoot about him, that's all! So far, so good, and that's all! Let him go and work. Well it's odd and funny what they say about the Siamese Twins that they . . . but why Siamese anyway? Suppose they are twins, but even great people have had their peculiarities."

<sup>48</sup>Двойник, p. 297.

"Well, all right, let's suppose, for example, that we are twins, that this is the way we were born, twin brothers, that's all,--this is it! So? So what about it? Why, nothing, of course! All the clerks can get used to it."

<sup>49</sup>The Tragedy of Richard the Third, I, i.

<sup>50</sup>Spiegelzauber, p. 169.





<sup>51</sup>Guy de Maupassant, Oeuvres complètes, Paris, 1927, Vol. IX, Le horla, pp. 42-43.

<sup>52</sup>"wraith:" here an unreal object of thought, an image or phantom produced by reflection, a "spectre." In The Scapegoat, John says (speaking of his double): "I stared at him, or rather not at him but at his shadow. When I had thought of him, during the past week, it had been as a phantom, someone who existed no longer, a shadow, a wraith. And had I given the wraith substance . . . " (p. 213).

<sup>53</sup>Gustav Schwab, Die schönsten Sagen des klassischen Altertums, Wien, 1951, p. 179.





## CHAPTER II

### MEDIA OF THE SELF'S PROJECTION: QUALITIES OF THE DOUBLE

In singular states of double existence, the concept of projection is only a different aspect of the concept of reflection. The sample situation where a ventriloquist's relationship with his performing puppet was briefly explained has shown that the application of either concept is relative to the observer's point of view in a twofold way. Firstly, it depends on whether the observer himself reflects or projects, and secondly, when so doing, whether he shares points of view with the artist, or with the dummy. A separate discussion of projection in literary doubleganger situations would therefore be superfluous, if it would lead to results similar to those arrived at in the chapter on reflection.

The aim of this chapter is clearly set in its title. It is to determine the media of the self's projection and to describe how these media represent indicative qualities of the double. The results anticipated in this part of our discussion are expected to differ from those of the previous chapter insofar as the concept of projection will be analysed in view of the qualities of the double it renders in some state of double existence.

In the previous chapter, the concept of reflection was discussed in view of all palpable features and traits which emerge where doubleganger are found in such state. To indicate the material,



or factual, significance of these features, they were called "properties," i.e. characteristics of logoi or matter capable of reflecting the self. The particular words or things thus designated potential attributes of the double. Since these attributes, as represented by the six significant types of the wirkungskreis, namely, the shadow, the reflection, the hallucination, the mirror, the image, the live twin, are in many ways solely external traits of the medium as well as of the double, one might also refer to them as "external features."

Having thus settled the question of material or factual features, or "external" properties, of the double, we now turn to the qualitative traits, as we perceive them in and through the media of the self's projection.

If projection is a different aspect of reflection, then the same principle must apply to the qualities of the double, which in turn are different aspects of the properties. A detailed discussion to follow at a later point, of the relationship between the mirror (as one particular property) and the soul (as one type of quality belonging to a similar wirkungskreis), will elucidate this point.

It should be added that our decision to combine reflection with properties, and projection with qualities of the double, is in some way arbitrary. It is true that most cases in literary reality in which the concept of projection dominates are more likely to have the double appear in terms of projected qualities of the self, while situations of reflection usually show the double in terms of descriptive external properties. But in more





complex sequences the case is frequently not quite as simple, as the observer of these sequences may freely share alternative points of view within the pattern self--Other One; literary reality--observer's reality (the reality in which the observer lives versus the reality of letters with which he is confronted. Compare Chapter I, p. 42). An example from a psychiatric study may further clarify this point. The following passage is taken from a report, according to which a number of persons were asked to comment on their visions when projecting themselves. "Saw self standing on the shore; mountain cataract; then scene shifted, self still there but changed by close of fragment to another person. At first, a distinct picture of self, at close, just the form of a man."<sup>1</sup>

In concrete and common sense terms it would be a question of manner of speech to decide whether the person involved in this situation "projects himself" or "is being reflected." The summary of the statement gives account of two distinctly different "reflections" "of self," one "a distinct picture," the other "just the form of a man." In this way, the features described are quantities, or properties of the double, and properties assez vague at that. The vagueness of traits of the personage reflected corresponds with a vagueness of the media: "on the shore;" "then scene shifted." In all, when this sequence is looked at from the point of view of reflection in a state of double existence, no signifying marks typical for media and properties of the double in such state are forthcoming, save that umbra and speculum constitute the hero's state of mind, and are latently contained in his observations: "saw self;" "a distinct picture of self." (The important feature of the medium in this context is to be found in an entirely



different aspect; Celui qui modifie is functioning as medium of the appearance of doubleganger by way of gestaltentausch: "self . . . changed . . . to another person." A close examination of this aspect must be postponed for discussion in Chapters IV and V, since it would require viewing the passage qua process during which doubleganger make their appearance, not qua situation, or series of states in which we observe them to be).

The larger context from which the above sequence of words was taken suggests that the dominating concept involved in this case be projection. From this point of view, the concept of projection must be implied in the above scene. The medium of the self's projection is absent (unless latently contained in "saw . . . ," i.e. "I saw," and in "at first, distinct picture of self . . . ," i.e. "at first, I saw a distinct picture of myself." ) With the self manifest qua personage projected ("self standing," "self still there," "picture of self") and the prevailing vagueness of the medium of such projection, no qualities of the double are forthcoming.

This example demonstrates the arbitrary exchangeability of the concepts of reflection and projection. For instance, the question "Who is self?" can immediately be answered only by "from what (or whose) point of view?" Also, the example would not be fit to serve our purposes because of the vagueness of the concept of projection in its immediate context; for the dominating concept in the literary reality of this scene is clearly that of reflection. Matters are quite different in another example from the same study. "I am standing by a chair in which my visualized self is sitting.





As observer I feel the movement of tying the handkerchief. As observed I feel its pressure on my forehead."<sup>2</sup>

We have here an actual I that speaks, as well as a "visualized self" that is referred to in factual terms. "I am standing," and "self is sitting" are of the same degree of reality, namely, factual, while the adjective "visualized" points out that the speaker is projecting his self into the chair. The scene is dominated by the concept of projection as a point of departure, but what follows the introductory statement is clearly an interaction of the concepts of projection and reflection. Note that the juxtaposition of "As observer" and "As observed" indicates the shift of point of view significant for the presence of double-ganger. Note also that along with this shift of point of view a shift of the identity of the self takes place which cannot be explained in terms of the concept of reflection alone.

It is conceivable, then, that all literary situations of double existence in which the concept of reflection seems to dominate must in some way also involve the concept of projection. This would mean that all examples used to explain the concept of reflection in literary double existence are expected to contain, manifestly or latently, the concept of projection. If this is true, then projection and reflection are components of the phenomenon of double existence in literary reality. They will, in any relevant context, be seen to function as pendants contradicting and complementing one another. To refer to some of the earlier examples, we could take другой господин Голядкин to be the projected self of старый господин Голядкин whether he believes he sees him-





self in the mirror, while the Other One stands in the doorway, or whether he persuades himself to be twins.<sup>3</sup> Herakles, in the example from page 11, may be observed to project his own fear and furor into the statue he attacks, the soul, confronted with his attire, to project his self into the garment, identifying the Other One as a "mirror of my self:" "Ich sah es ganz in mir, und hatte mich ganz in ihm gegenüber, denn wir waren zwei voneinander unterschieden, und doch wieder nur eins, in gleicher Gestalt."<sup>4</sup>

From this it can be concluded that in the hero's state of projection umbra and speculum play a rôle similar to that in his state of reflection. As components of the medium of the self's projection they express, mutually, the qualitative constitution of this medium. As its contents they determine the qualities of the double. Celui qui modifie can then be described by a wirkungskreis of six prominent types of qualities of the double, comprising the medium of the self's projection, while each particular type, and in turn, each particular representation of such type, will be phenomenologically interlinked with the former complex shadow-reflection-hallucination-mirror-image-live twin as representing the wirkungskreis of media of the self's reflection, or properties of the double.

In the way in which projection, during the hero's state of twoness, presents the inverted aspect of reflection, the components of umbra and speculum are seen to function in a reverse sort of pattern. The mirroring properties accounted for a sameness of palpable features in the hero's state of reflection. They represented material, external and descriptive traits and character-



istics of a combination of speculum and self in word and matter. Generally speaking these mirroring properties play a minor rôle in the hero's state of projection.

The mirroring qualities, however, which represent the features of a more or less animated umbra (i.e. hallucination, voice, live image, shadow and the like), dominate the state of double existence through projection. In this case, too, the partial notions of umbra and speculum attain a twofold significance when applied to literary scenes. But where in reflection the two components dominate in shaping the double as the hero's vis-à-vis "without" himself, while they function within the hero as a sort of post-execution of the prevailing "without," the reverse takes place where the concept of projection applies.

From a case history of catatonic schizophrenia: "He was both auditorily and visually hallucinated: he complained of hearing buzzing noises, sounds like someone squealing . . . . He expressed the belief that the doctors and nurses could manipulate their shadows, and that there was another person in his bed . . . ." <sup>5</sup>

It is the idea of umbra that begets the double as a "resulting without" in projection; the speculum-component functions in most cases only as a latent quality, such that the projecting hero almost always fails to establish complete identity with his double. The following examples will further explain this. They will also demonstrate that the terms "within" and "without" are not strictly to be taken as physical entities.

"Visual image of self sitting. Dark room, saw lap, book, and one side of chair. Seen to right. Figures [plural!] reduced in size.







The visualized self very small, about eight inches tall, but localized in my actual position, that is, at my side on chair on which I am sitting."<sup>6</sup>

Given that this state is projection there is contradiction as to where exactly the personality projected is located. One statement says it is "localized in my actual position," while the following correction shifts the double from a physical within to a physical without. Our next example comes from Frazer's Golden Bough. Note that in both cases the component of speculum is hidden in either identification of second self or declaration of the hero's twoness. A European missionary, apparently ignorant of the fact that some Australian natives have mannikin souls, makes this statement: "I am not one, as you think, but two."<sup>7</sup>

This example is interesting because it actually declares an absence of speculum, as the following statement will show, while umbra dominates the hero's state of mind and establishes his twoness. "Upon this they laughed. 'You may laugh as much as you like . . . I tell you that I am two in one; this great body that you see is one; within that there is another little one which is not visible . . . .'"<sup>8</sup>

Nevertheless, speculum is latently present. The mirroring qualities are a necessary component of the hero's state of mind in order to achieve this "other little one which is not visible."

The example is most appropriate to show a profound phenomenological interrelation between "mirror" and "soul," with regard to the alternating concepts of reflection and projection. If the hero were reflected, or reflected himself during the manifest



presence of speculum as a component of such reflection, the resulting appearance would be constituted by the wirkungskreis shadow-reflection-hallucination-mirror-image-live twin as the universal medium. Such an Other One would in these terms be described on the grounds of the mirroring properties forthcoming, and the double would be referred to in terms of his external features, or properties.

The state of projection denies the factual presence of speculum, and the double forthcoming assumes qualitative features. The Other One is "soul." The natives' reply to the above statement illustrates our point. "To this, some blacks replied, 'Yes, yes. We also are two, we also have a little body within the breast . . . .'"<sup>9</sup>

A comparative summary of these examples made on the grounds of a typical appearance of the double, namely, as an "Other little one," will be that the medium of the self's projection is generally described by the mirroring qualities dominating the hero's state of mind. Celui qui modifie renders qualities of the double where the component of speculum is denied and umbra prevails. Where projection is accompanied by mirroring properties, (e.g. "Visual image of self sitting"), no qualities of the double are forthcoming. It is important to note, however, that the particular appearance of Celui qui modifie in projection is the issue of the hero's twoness initiated by him, and that, where reflection is interacting in terms of mirroring properties (e.g. "We also are two, we also have a little body within"), the medium will fail to render qualities of the double. The ambiguous use of "self" in





some of the passages just quoted makes this quite clear. From the point of view of the speaker, "self" is, in the three examples given from Downey's report, "the projected one." In all cases "self" is the "one observed" while the observer, in all but one case, fails to refer to himself at all. But it is just this observer who, from our point of view, would have to be called "self" (which is why we prefer "hero" instead), while the personage referred to as "self" by him, we would call Other One, or double.

"Self," in the way in which it is used by those persons projecting, indicates clearly a manifest presence of the speculum component. Thus understood, the logos "self" represents the mirror-twin identity of the projecting hero, and is, therefore, qua nomen, the reflection of the speaker's I. But insofar as this "self" is also "the projected one," it is qua personality the projection of the actual self or hero, and makes its appearance as an umbra. The properties of this double are established by the accompanying type of medium of reflection, as represented in the proper wirkungskreis, for instance, ". . . The visualized self very small, about eight inches tall, but localized in my actual position . . . ."

The qualities of this double are forthcoming where the state of projection attains qualitative components. In such cases the ambiguous use of the term "self" to designate the umbra-double is abandoned, and a large variety of qualifying nomina may take its place. What the term "self," as used by the person projecting, hinted at in a vague sort of way, for instance, that umbra made its appearance as a dwarfed mock-up or "other little one," will





now be qualified by more specific logoi. Frazer reports in the above context that the Hurons thought that "the soul had a head and body, arms and legs; in short that it was a complete little body of the man himself."<sup>10</sup>

Elsewhere, we read that "The ancient Egyptians believed that every man has a soul . . . which is his exact counterpart or double, with the same features, the same gait even the same dress as the man himself. Many of the monuments . . . represent various kings appearing before divinities, while behind the king stands his soul or double, portrayed as a little man with the king's features."<sup>11</sup>

In these passages, the medium of the self's projection is the soul. As a dominant type of quality of the double, this "soul" emerges as a component and pendant of the double's properties which are described in terms of the complex shadow-reflection-hallucination-mirror-image-live twin.

The appearance of "soul" as a medium of the self's projection in literary reality is manifold, and it is irrelevant here to consider what in each case it is intended to signify as a metaphysical concept. What matters is that "soul," in whatever context it may appear, is an indicative mark of the phenomenon of double existence in literary reality.

A double-ganger is thus the free-soul when its extra-physical appearance occurs at the same time as its owner is a waking, active individual. The double-ganger herewith falls somewhat outside the scope of the free-soul's normal mode of functioning . . . .<sup>12</sup>

Die Doppelgängerseele ist tatsächlich als eine Variante der Freiseele zu betrachten, wie es zahl-



reiche Beispiele auch aus unserem Gebiet zeigen. Die Doppelgängerseele erscheint in der Regel, genau wie die Freiseele, als eine "geistige" Kopie des Eigentümers, als sein schattenhaftes, "luftiges" Ebenbild. Mit der Freiseele teilt sie auch die große Verwandlungsfähigkeit, d.h. die Fähigkeit, verschiedene Gestalten anzunehmen, bald als Mensch, bald als Tier, Vogel u.s.w. zu erscheinen.<sup>13</sup>

As a medium of the self's projection, it describes one type of the double: as umbra-component in the hero's state of projection it counterbalances the speculum-component of the self's reflection which expresses the double's properties. In this way, "soul" is always expressed and described by umbra and speculum alike, whether as an "exact counterpart or double, with the same features, the same gait, even the same dress as the man himself," or whether as an umbra-content of some mirror-likeness constituted by the wirkungskreis of shadow-reflection-hallucination-mirror-image-live twin: "This portrait would be to him the most magical of all mirrors. As it had revealed to him his own body, so it would reveal to him his own soul."<sup>14</sup>

There are numerous examples to illustrate this in more detail. One of the most typical is that soul and mirror become as concepts synonymous. "Nach japanischer Auffassung ist der Spiegel die Seele der Frau, das Schwert die des Mannes."<sup>15</sup>

It can easily be established that sword, like many other shining surfaces, functions as a modified mirror; speculum and gladium are here synonyms, their umbra-content is the soul. It is indicative, therefore, that the Handwörterbuch des deutschen Aberglaubens lists "image," "soul," and "double" under the heading of Spiegelbild.





Spiegelbild, Seele, Doppelgänger.

- 1) Gleich dem Bild und dem Schatten ist endlich das Spiegelbild eines Menschen ein wesentlicher Teil seiner Persönlichkeit . . . .<sup>16</sup>

In the same manner in which the medium of the self's reflection ambiguously constitutes the properties of the double, each type of medium of the self's projection may alternately function as either the medium of projection or as quality of the prevailing double. In the previous examples the type "soul" dominated in establishing the double's qualities. The following passage presents an instance where "soul" constitutes the medium into which the Other One is being projected, or, from the hero's point of view, the part of self which is being usurped by the double. "Je suis perdu! Quelqu'un possède mon âme et la gouverne! Quelqu'un ordonne tous mes actes, tous mes mouvements, toutes mes pensées."<sup>17</sup>

In projection, as in reflection, medium and forthcoming type of quality, or quality and apparent medium, coincide. And this is true not only where Celui qui modifie patterns the double as a whole, but also where, by virtue of its mirroring properties and qualities in a fractional combination of umbra and speculum, it represents the state of projection and the qualities of the double as pars pro toto. In the following example attention should be given to the interpretive analogy for "soul."

So wie in Japan der Spiegel die Seele der Frau ist, vertreten . . . Glas, Teller oder irgend ein anderer Gegenstand die weiblichen Genitalien und das Zerbrechen wirkt als Analogiezauber, d.h. ist eine vorseilende Symptomhandlung der Defloration . . . .



". . . ich war schon öfters bei ihm, war aber noch Jungfrau. Einmal als ich eben wieder hingehen wollte, entfiel mir ein Glas Wasser aus den Händen und zerbrach. An diesem Tage ist es ihm gelungen."<sup>18</sup>

Insofar as the soul is a qualitative attribute of the double in projection, it cannot and need not be defined in physical or metaphysical terms. Its form of appearance may vary from case to case and its features resemble anything ranging from visibility to invisibility, or from corporeity to spiritual existence. But it is not essential that we see "soul" as an independent unit or entity and in terms of descriptive features of any sort; for its function is that of a quality modifying the appearance of the double in the self's state of projection, and it is, as such quality, a component of other qualities which together form a wirkungskreis. As one type of medium of the self's projection it immediately comprises all its qualitative components. And this is of course true for each of the six suggested types within the wirkungskreis.

The wirkungskreis of qualities which determine the universal medium of the self's projection consists of the following six types: the soul, the conscience, the scapegoat, the spirit, the tempter, and the unhappy consciousness. Each of these may, alone or together with others as their manifest components, form the medium of the self's projection, and thus determine the qualities of the double in that particular case. The types of qualities will appear in this connection in a threefold way, or in a combined pattern of the three possible forms of appearance here described.





Firstly, the types soul, conscience, scapegoat, spirit, tempter, unhappy consciousness can be present simply as words.

In such cases the particular type would function as a nominal component of the medium of the self's projection. For example, "L'homme, à la fois esprit et matière, est double; mais en tant qu'esprit, il est un . . ."19

In The New Golden Bough, an abbreviated edition of Frazer's original work, we find, under the heading "Outward Forms of the Spirit," the following lines: "The animal inside the animal, the man inside the man, is the soul. And as the activity of an animal or man is explained by the presence of the soul, so the repose of sleep or death is explained by its absence . . ."20

Here again, the particular types (note the synonymity of "spirit" and "soul") serve a strictly nominal purpose, i.e. soul is the nomen attached to the man inside the man.

Another example, featuring "tempter" as nominal attribute: "Dans le Spiegelmensch, de Franz Werfel, l'homme du miroir est le refoulement de Thanat [sic] qui s'échappe et devient puissant. Valet fourbe et tentateur, il arrondit sa tournure, à mesure que son maître s'étiole et s'amaigrit."21

The second form in which types of qualities, or combinations thereof, may appear is that of their immanent presence in the hero's state of projection. In such cases, the types are seldom, or not at all, represented in word or matter. Rather, they function and take shape as potential or working attributes of double existence. Examples of the variety in which a demon or devil appears in the mirror belong here. From the point of view of



projection, the appearance of the demoniac vis-à-vis potentially harbours all the qualities of the wirkungskreis, predominantly those of the tempter, the spirit, the conscience and the scapegoat. The familiar notion that a double in literary reality is the personification of evil is itself a projection of the conscience and tempter qualities. The appearance of the Other One as an "evil spirit," in whatever form or circumstance it may take place, combines latently the three qualities of tempter-conscience-spirit. One illustration may suffice here.<sup>22</sup>



Von einer edlen frowen wie die vor eym spiegel  
stund, sich mutzend vnnd sy jn dem spiegel den  
tüfel sach jr den hyndern zeigend.

Ritter vom Turn, Basel 1493.

(Nach Soldan-Heppe: Geschichte der Hexenpro-  
zesse. 1911. I. 258.)





The scapegoat type is often immanent where the hero's projection is somehow purposeful. "He looked round, and saw the knife . . . . It would kill this monstrous soul-life, and, without its hideous warnings, he would be at peace. He seized the thing, and stabbed the picture with it."<sup>23</sup>

The state of projection involves here the act of blaming the Other One for what qualifies him: "soul-life" and "warnings" represent the types of soul, spirit, and conscience; "monstrous" and "hideous" express the combination of tempter-conscience, and the projection repeated in the act of stabbing makes the picture-double the scapegoat.

The immanent scapegoat-quality is exemplary in the following three passages.

Der Gatte (=Rabe) gibt der Prinzessin einen Spiegel, in welchem sie alles sehen kann, was im Palast ihres Vaters geschieht, aber die Kammerfrau darf nicht hineinschauen. Einmal vergißt die Prinzessin den Schlüssel, die Kammerfrau geht in das Gemach hinein, schaut in den Spiegel, worauf der Rabe sie zerreißt. Die Prinzessin muß nun fortgehen und . . . sieben Jahre dienen. Der letzte Zug zeigt deutlich, daß die Kammerfrau nur eine "Abspaltung" der Prinzessin ist.<sup>24</sup>

Das Hingeben des in Öl verbliebenen Ebenbildes, dessen Zusammenhang mit der Persönlichkeit durch das in das Öl geworfene Haar und die Nägel noch besonders hervorgehoben wird, dient in Wirklichkeit dazu, die Aufmerksamkeit der Krankheitsdämonen vom Original auf das Ebenbild zu lenken und entspricht vollkommen der bei solchen Anlässen gebräuchlichen Namensänderung.<sup>25</sup>



Indeed, what is called psychosis is sometimes simply the sudden removal of the veil of the false self, which had been serving to maintain an outer behavioural normality that may, long ago, have failed to be any reflection of the state of affairs in the secret self. Then the self will pour out accusations of persecution at the hands of that person with whom the false self has been complying for years.<sup>26</sup>

A more elaborate example which already combines the representation of types of qualities in that nominal equivalents appear together with immanent qualities, is a passage from Edgar Allan Poe's William Wilson. While the soul and the unhappy consciousness (the latter qualifying the hero's state of mind as that of a double-consciousness) are immanent during the particular state of projection (i.e. the hero's report as a visualization of the Other One), the remaining types of qualities are manifestly represented by synonymous logoi, i.e. "tormentor," "admonisher," (conscience), "destroyer of my honor" (scapegoat), "Arch-enemy and evil genius" (spirit-scapegoat), and so on.

I had also been forced to notice that my tormentor for a long period of time (while scrupulously and with miraculous dexterity maintaining his whim of an identity of apparel with myself), had so contrived it, in the execution of his varied interference with my will, that I saw not, at any moment, the features of his face. Be Wilson what he might, this, at least, was but the veriest of affectation, or of folly. Could he, for an instant, have supposed that, in my admonisher at Eton--in the destroyer of my honor at Oxford,--in him who thwarted my ambition at Rome, my revenge at Paris, my passionate love





at Naples, or what he falsely termed my avarice in Egypt,--that in this, my arch-enemy and evil genius, I could fail to recognise the William Wilson of my school-boy days,--the namesake, the companion, the rival,--the hated and dreaded rival at Dr. Bransby's . . . ?<sup>27</sup>

Beyond the verbal representation and immanence of quality-types it is possible that they attain such an importance that the double becomes a personification of one particular quality. An onset of such a disposition can be observed in the last monologue of Richard III where the projected double shows strong traits of conscience personified:

O coward conscience! how dost thou afflict me . . . .  
 What? do I fear myself? there's none else by,  
 Richard loves Richard, that is, I am I.  
 Is there a murderer here? No; yes, I am:  
 Then fly; What from myself? Great reason: why?  
 Lest I revenge. What? myself upon myself?  
 Alack, I love myself . . . .  
 O no. Alas, I rather hate myself . . .  
 Fool, of thyself speak well: fool, do not flatter.  
 My conscience hath a thousand several tongues . . .<sup>28</sup>

Personifications of conscience are found in the following examples:

Das Bild hält in recht drastischer Weise dem immer tiefer sinkenden Helden den Spiegel seiner sittlichen Verkommenheit vor, es zeigt ungeschminkt die Spuren, die das gedankenlose Laster dem Angesicht des Porträtierten aufgebrannt haben sollte, und treibt ihn schließlich zum Selbstmord. Das Wesen des Doppelgängers . . . , nämlich die Verkörperung des bösen Gewissens, tritt bei Wilde deutlich zutage . . .<sup>29</sup>



Bei höher entwickeltem sittlichen Bewußtsein fühlt das ethische Ich des Menschen die schwere Schuld des niederen Wollens. Das Bild im Spiegel, der Schatten am Boden, das Porträt an der Wand, der Hall der eigenen Stimme . . . werden den so Gestimmten unheimlich berühren. Aber die Vorstellung, daß sich die Gestalt im Spiegel selbständig machen könnte, daß sie als Doppelgänger in der Welt herumgehen könnte, ist wohl jedem unerträglich.<sup>30</sup>

In Saul Bellow's Dangling Man, the projected Other One appears as the hero's spiritual double:

An Hour with the Spirit of Alternatives

[double] "Let's have a talk, shall we Joseph?"

"Glad to . . . ."

"Well, the fact is, though I'm glad to have this opportunity, I can't quite place you!"

[double] "By name."

"That doesn't matter."

[double] "Of course not. I go by several."

"Such as?"

[double] "Oh--'But on the Other Hand,' or 'Tu As Raison Aussi.' I always know who I am, that's the important thing."

Later on in this monólogo dialogado, the Other One is identified more specially by the hero:

"You don't believe in the historic roles of classes do you?"

[double] "You keep forgetting. My province is . . . ."

"Alternatives. Excuse me . . . ."<sup>31</sup>

A classical example for the personification of "tempter" is Leverkühn's confrontation with his visitor "aus der Hellen und





ihrer Spelunck," in Thomas Mann's Doktor Faustus. It is well worth the risk to maintain, without further ado, that "ein anderer, ganz anderer, ein entsetzlich anderer"<sup>32</sup> is Leverkühn's phantasticized, volatilized, self. It will be remembered that the Other One appears in the habit of a facetious clown, red-haired and clad in screaming colors.

Ich (recht höhnisch) . . . . Bin auf alles gefaßt und gewöhne mich an alles. Gewöhne mich an Euere Unverschämtheit, daß Ihr mich Du nennt und "mein Lieber," was mir allerdings besonders zuwider. "Du" sag ich ja schließlich auch zu mir selbst, --was wahrscheinlich erklärt, daß Ihr so sagt. Nach Euerer Behauptung konversier ich mit dem schwartzen Kesperlin,--Kesperlin, das ist Kaspar, und so sind Kaspar und Samiel ein und derselbe.

The argument continues for a while on this topic and then turns to time. The tempter emerges.

Ich: So wollt Ihr mir Zeit verkaufen?

Er: Zeit? Bloß so Zeit? Nein, mein Guter, das ist keine Teufelware. Dafür verdienten wir nicht den Preis, daß das Ende uns gehöre. Was für 'ne Sorte Zeit, darauf kommts an! Große Zeit, tolle Zeit, ganz verteufelte Zeit, in der es hoch und überhoch hergeht . . . . Denn wir liefern das Äußerste in dieser Richtung: Aufschwünge liefern wir und Erleuchtungen, Erfahrungen von Enthobenheit und Entfesselung, von Freiheit, Sicherheit, Leichtigkeit, Macht-und Triumphgefühl, daß unser Mann seinen Sinnen nicht traut . . . die Schauer der Selbstverehrung, ja des köstlichen Grauens vor sich selbst, unter denen er sich wie ein begnadetes Mundstück, wie ein göttliches Untier erscheint. Und entsprechend tief, ehrenvoll tief, gehts



zwischen durch denn auch hinab . . . . Das sind die Schmerzen, die man für das enorm Genossene mit Vergnügen und Stolz in Kauf nimmt, Schmerzen, die man aus dem Märchen kennt, die Schmerzen, die die kleine Seejungfrau, wie von schneidenden Messern in ihren schönen Menschenbeinen hatte, als sie sie statt des Schwanzes erworben. Du kennst doch die kleine Seejungfrau von Andersen? Das wäre ein Schätzchen für dich! Es kostet dich ein Wort, und ich führe sie dir zu Bette.<sup>33</sup>

There are numerous examples where the projected double appears as a personification of any one of the quality-types mentioned above. The most frequent appearances of the double, in the hero's state of projection, are probably those of the personified tempter and of the scapegoat.

In the following case the devil assumes the personal features of a certain monk to perform the rôle of a stand-in. The example is part of a legend in which a monk is persuaded by the devil (in the guise of a beloved nun) to steal the monastery's jewels and elope. With the devil's help, the cleric is caught red-handed and is put into the stocks.

Doe seide die duvel "ay nu hebbe ict iu ymmer gheloent Mer doch so hevet maria die ghi dient overmits medeliden dat si to iu hevet mi ghedwonghen mit hare mogentheit dat ic doen moet dat ic node doe" Doe dede die duvel den stoc op ende verlost den coster daer wt Ende seide hem dat hi wt soude gaen. ende die duvel ghinc sitten inden stoc (in der ghedaente des costers) Ende die coster ghinc weder heymelic in sijn celle.<sup>34</sup>

The medium of projection is here again of the type "spirit." This spirit makes its appearance as the devil who bears the brunt in





the rôle of the projected self. The dominating quality of the double in this case is that of the personified scapegoat of the monk's deed. Closely associated with this quality is that of the tempter; the devil is representative of this quality and indeed has played the rôle of the tempter earlier on in the story.

It is interesting to note that the very common appearance of the Other One in the devil's features combines these two quality-types and leads to the familiar notion that the double is, at bottom, but the representative of evil as opposed to the "good" hero or self. However, as can be seen in many instances, this notion is an interpretive surrogate for one or a combination of several quality-types of the medium of projection, for demoniac hypostasis as a form of double existence in literary reality is only one of several possible features which may express the double hero's state of mind. Its counterpart or pendant is that of an angelic projection. Moral attributes serve an interpretive function in double-ganger, but they are not the essentials of the phenomenon. The impersonator of the quality-type "soul" may well bear demoniac attributes while the impersonator of the tempter-scapegoat variety may possess an angelic constitution. The representation of "spirit" and/or "soul" as a medium of projection by some superior being other than a demon or devil (for example in the appearance of a god, saint, fairy, angel etcetera), is therefore no guarantee for the double's "goodness." Rather, the rôle of the stand-in of some holy or saintly double is often comparable to that of the devil in the previous example, namely, to bear the brunt for some morally disagreeable deed of the self or to cover up for it. The legend of Beatrix the run-away vestry-nun is a typical version of this motif.



In nearly all cases of this variety, the virgin Mary, in the guise of the renegade, pretends a life of saintly seclusion while Beatrix herself indulges in wordly pleasures and carnal gratification.<sup>35</sup>

But although the rôle of a stand-in must be closely associated with the scapegoat quality, the saintly double's rôle of conscience personified seems more important in this instance: "Ego per quindecim annos absentie tue officium tuum supplevi. Revertere nunc in locum tuum, et penitentiam age, quia nullus hominum novit excessum tuum. In forma siquidem et habitu illius Dei genitrix vices egerat custodie. Que mox ingressa, quamdiu vixit gratias egit, per confessionem circa se se gesta manifestans."<sup>36</sup>

The mechanics of substitution are a vital component of projection and they lead to the more elaborate device of metamorphosis and transformation as media of appearance of doubleganger. In the present cases the appearance of the double is provoked by an incantation: the self appeals to the spirit-medium before the substitution is made and the rôle of the stand-in is assumed. Before leaving the monastery, Beatrix approaches the altar of the Holy Virgin, saying: "Domina, quanto devocius potui servivi tibi, ecce claves tuas tibi resigno; tentationes carnis sustinere diutius non valeo."<sup>37</sup>

That this incantation constitutes a vital momentum in projection can be more obviously observed in similar examples which are not of the Beatrix variety but which involve the Mother of Charity and Compassion as a spirit-medium of such projection. In the first example the projected double becomes a substitute scapegoat. A knight who has bartered his wife's soul in return for riches is with her on the way to their rendez-vous with the devil.





Die vrouwe was vervaert ende beanxt want si en plach niet mit hem te varen Ende si bat maria der moeder gods devotelic dat si haer bescermen woude van al dat haer deren mochte Ende si sat op een paert ende reet mit haren man Ende doe si een stuc ghereden waren doe stont daer biden weghe een cappelkijn Die vrouwe bat haren man dat si daer in moste gaen ende spreken haer ghebet want ymmer twivelde haer datter niet guets mede en was Die ridder hielt dat paert. ende sy ghinc inder kerken ende sprac haer ghebet Ende beval haer selven maria die moeder gods ende in haer ghebet wort si ontslape Ende die ridder murmerde dat hi also langhe beiden moste Siet daer quam die maghet ende moeder gods maria in die ghelikenisse dier vrouwen van lichaem ende van ghewade na des ridders vrouwe Ende si sat op dat paert ende reet mitten ridder Ende die ridder en wist niet anders ten was sijn wijf. mer sijn wijf bleef legghen slapen inder kerken.<sup>38</sup>

The projection is total in this instance. After an exchange of consciousness the lifeless self remains behind in front of the medium, while "spirit" and "scapegoat" merge to become the Other One. The suggestion of self-projection into the holy medium is more brutally made in a parallel version of this legend where the wife "went to lie in front of the image of Our Dear Lady and she prayed and she screamed with such great desire that she became unconscious."<sup>39</sup>

A last example demonstrating the link between incantation and projected double is that of a knight who fails to arrive in time for the joust over his devotion to the Virgin Mary.

Ende men dede daer veel missen die een nader ander  
Ende hi en woude gheen misse laten ongehoort om die



minne van onser liever vrouwen Ten lesten doe die missen al ghedaen waren Doe ghinc hi wtten cloester ende ghinc haestelic totten tornoye waert Ende siet daer quamen ridderen ende wel gheboren mannen wtten tornoye desen ridder te ghemoet Ende si seiden tot hem dat hi alte vromelic ghetorniërt hadde Ende die sommighe quamen ende seiden dat si sijn ghevanghen waren Ende doe si dat alle seiden die daer quamen so verstont die ridder wel dat hem die hoechste coninghine maria die maghet ende moeder gods hoechlic geëert hadde Ende hi vertelde alden volc wat hi gedaen hadde.<sup>40</sup>

The principal difference, then, between the states of reflection and projection, is in the attitude of the hero during confrontation with the medium. The basic condition of this attitude is, in the moment of reflection, that the hero stands by passively while he is being reflected, and in the moment of projection, that in transferring features of his self through a medium to another personality he is spiritually aggressive and not reflective, while withdrawal may be a subsequent reaction.

The appearance of the double, in the self's state of projection, must be universally described in terms of the above mentioned wirkungskreis of qualities. Of these, the unhappy consciousness is the one most appropriate to explain the phenomenological principles of projection and double existence. The unhappy consciousness, a loan-translation of Hegel's term "unglückliches Bewußtsein," qualifies the hero's state of mind in projection, and is immediately associated with the more interpretive quality-types of the wirkungskreis, namely the soul, the spirit, the tempter, the conscience, and the scapegoat. As a medium of the self's projection, the unhappy consciousness manipulates the twoness of one single





self. In Hegel's Phänomenologie des Geistes this state is reached where the self is confronted with, or undergoes, the phase of scepticism.

Im Skeptizismus erfährt das Bewußtsein in Wahrheit sich als ein in sich selbst widersprechendes Bewußtsein; es geht aus dieser Erfahrung eine neue Gestalt hervor, welche die zwei Gedanken zusammenbringt, die der Skeptizismus auseinanderhält. Die Gedankenlosigkeit des Skeptizismus über sich selbst muss verschwinden, weil es in der Tat Ein Bewußtsein ist, welches diese beiden Weisen an ihm hat. Diese neue Gestalt ist hiedurch ein solches, welches für sich das gedoppelte Bewußtsein seiner als des sich befreienden, unwandelbaren, und sichselbstgleichen und seiner als des absolut sich verwirrenden und verkehrenden,--und das Bewußtsein dieses seines Widerspruches ist.--Im Stoizismus ist das Selbstbewußtsein die einfache Freiheit seiner selbst; im Skeptizismus realisiert sie sich, vernichtet die andere Seite des bestimmten Daseins, aber verdoppelt sich vielmehr, und ist sich nun ein Zweifaches. Hiedurch ist die Verdopplung, welche früher an zwei einzelne, an den Herrn und den Knecht sich verteilte, in eines eingekehrt; die Verdoppelung des Selbstbewußtseins in sich selbst, welche im Begriffe des Geistes wesentlich ist, ist hiemit vorhanden, aber noch nicht ihre Einheit [,--] und das unglückliche Bewußtsein ist das Bewußtsein seiner als des gedoppelten[, ] nur widersprechenden Wesens.<sup>41</sup>

These are the essential and universal marks of any possible state of projection in literary reality. Regardless of all varying particulars of circumstantial facts that may modify the individual case, Celui qui modifie is first and foremost the divider of one consciousness into two contradictory aspects. The complexity of



the dialectic of such an unhappy consciousness is nearly unlimited. In a case history from R.D. Laing's The Divided Self an alternation of reflection and projection produces the intriguing combination shadow-reflection-image-hallucination-mirror-conscience-scapegoat-unhappy consciousness. The text is self-explanatory.

An instructive version . . . occurred in a girl of twenty whose complaint was of being "self-conscious" because she had an ugly face. To her face she applied white powder and bright red lipstick, giving it, if not an ugly appearance, at least a startlingly unpleasant, clownish, mask-like expression, which decidedly did not exhibit to advantage the features she had. In her mind, she did this to cover up how ugly she was underneath her heavy make-up . . . .

She was much addicted to scrutinizing her face in the mirror. One day it came to her mind how hateful she looked. It had been in the back of her mind for years that she had her mother's face. The word "hateful" was pregnant with ambiguous meanings. She hated the face she saw in the mirror (her mother's). She saw, too, how full of hate for her was the face that looked back at her from the mirror; she, who was looking at the mirror, was identified with her mother. She was in this respect her mother seeing the hate in her daughter's face: that is, with her mother's eyes, she saw her hate for her mother in the face in the mirror, and looked, with hatred, at her mother's hatred of herself.<sup>42</sup>

If, in the passage from Hegel's Phenomenology, we take Bewußtsein to represent the impersonator of hero or self, then das unglückliche Bewußtsein is the forthcoming quality which will determine the constitution of the double. This quality will be found immanent





in every case of a self's projection in literary reality. In fact, notwithstanding the interpretive, or face value of some particular passage, the word "consciousness" or "conscious" or its equivalents frequently accompany the description of such a scene. An example to the point is a brief episode from "Henry Jekyll's full Statement," the last chapter of Stevenson's Dr. Jekyll and Mr. Hyde. Here, the dispute involves the aspects of good and evil, and the hero's state of projection correlates with that of reflection, the scene bearing all the earmarks of both wirkungskreise, while umbra and speculum interact as accompanying functions of both correlative aspects.

And hence, as I think, it came about that Edward Hyde was so much smaller, slighter, and younger than Henry Jekyll. Even as good shone on the countenance of the one, evil was written broadly and plainly on the face of the other. Evil besides (which I must still believe to be the lethal side of man) had left on that body an imprint of deformity and decay. And yet when I looked upon that ugly idol in the glass I was conscious of no repugnance, rather a leap of welcome. This, too, was myself.

The outcome is, clearly, the hero's "unhappy" awareness of being two in one. The conclusion of this scene, and the commencement of a new phase, make this even more evident.

I lingered but a moment at the mirror: the second and conclusive experiment had yet to be attempted, it yet remained to be seen if I had lost my identity beyond redemption and must flee before daylight from a house that was no longer mine; and hurrying back to the cabinet, I once more prepared



and drank the cup, once more suffered the pangs of dissolution, and came to myself once more with the character, the stature, and the face of Henry Jekyll.<sup>43</sup>

The interplay of raison and crise in the self's state of twoness through projection is another illustration of "gedoppeltes Bewußtsein seiner als des sich befreienden, unwandelbaren, und sich-selbstgleichen und seiner als des absolut verwirrenden und verkehrenden--und das Bewußtsein dieses seines Widerspruches . . ."

The following example is taken from Azam's case history of Felida, Hypnotisme, double existence et altérations de la personnalité.

The author describes here the subject's state of being an Other One as opposed to sa vie normale.

Dans cet état, elle se souvient parfaitement de tout ce qui s'est passé pendant les autres états semblables qui ont précédé et aussi pendant sa vie normale. J'ajouterai qu'elle a toujours soutenu que l'état, quel qu'il soit, dans lequel elle est au moment où on lui parle est l'état normal qu'elle nomme sa raison, par opposition à l'autre qu'elle appelle sa crise.<sup>44</sup>

A universal description of the medium of the self's projection will bear out a pattern similar to that of describing the self's medium of reflection. The six prominent types of its appearance, namely, the soul, the spirit, the tempter, the conscience, the scapegoat and the unhappy consciousness, interact to form the occasional double of a random scene. As qualities of the double, these types may be represented verbally or alluded to semantically. They may be immanent in certain states of projection. Lastly, the double himself may appear as a personified quality. The universal qua-





lities of the double emerge during such interaction, with the dominant quality-type forming the medium of projection.

The fundamental components of Celui qui modifie, umbra and speculum undividedly partake in representing its particular formation. The medium will therefore as a universal contain all the particulars of qualities immanent in the wirkungskreis, while either one or several types determine the qualitative features, or organic constitution of Celui qui modifie, and others function as attributes of its environment. The attributive function of quality-types not immediately apparent in some state of projection can be observed in the setting of the scene, the atmosphere of the particular episode, as well as the characteristic attitude of doubleganger in each case. But where in reflection we observed characteristics which are measured as physical phenomena, notably those involved in an interplay between source of light and receiver of reflection (i.e. darkness, night, twilight, gloom, shadowy atmosphere, sleep, dream, etcetera, all of which are accompanying attributes of one type of the corresponding wirkungskreis shadow-reflection-image-hallucination-mirror-live twin), we find the setting in projection constituted by qualitative traits. And where in reflection the circumstantial attributes derive from the constitution of umbra-speculum without the self ("It was, in the night, as though I had been faced by my own reflection in the depths of a somber and immense mirror"), it is here the hero's state of mind which initiates the circumstances of the setting.

The key-position of all qualifying traits in projection is held by the type of the unhappy consciousness. The circumstantial



attributes in projection are modified by a loss of balance of ratio, a "darkness of mind." Madness, insanity and folly are notions most frequently encountered in double existence, and they are the most typical attributes of the medium of the self's projection. The "Treatise on the Steppenwolf," supposedly Harry Haller's constant medium of projection in his simplified duplicity or his complicated multiple existence, is "for madmen only."<sup>45</sup> Out of context, the statement "I am not one, as you think, but two" conveys a similar madness. In its naive context it still signifies a lack of balance of ratio, as do most of this chapter's examples. The Queen's "Alas, he's mad" in Hamlet III, 4 is not only a commonsense observation, but also establishes the logical symptoms of the hero's state of mind in projection: "This is the very coinage of your brain;/This bodiless creation ecstasy/Is very cunning in."

Qualities of the double, or media of projection, as expressed by the group of interlocking concepts soul-tempter-conscience-spirit-scapegoat-unhappy consciousness, individually or in combinations, must therefore also be understood as descriptive expressions of folly, madness and insanity which are attributive functions of double existence and of which those qualities are typical representatives. Potential physical and intellectual characteristics or traits of doubleganger are in this connection those of the idiot, the dupe, the clown, the fool, the buffoon, the Hanswurst or Spas-macher, the monkey, the ape and the devil. They may determine the hero's attributes or the double's attire; they may describe the self's state of mind or merely occur as a nominal adjunct to either one of the pair.





## FOOTNOTES

- <sup>1</sup>June E. Downey, "Literary Self-Projection," in: Psychological Review, XIX (1912), 305.
- <sup>2</sup>Downey, p. 304.
- <sup>3</sup>Compare Chapter I, footnotes 3, 47, and 48.
- <sup>4</sup>From the "Hymn of the Soul," as quoted in Spiegelzauber, p. 102. Compare also Chapter I, p.
- <sup>5</sup>Sir David Henderson and Ivor R.C. Batchelor, Henderson and Gillespie's Textbook of Psychiatry for Students and Practitioners, London, 1962, p. 280.
- <sup>6</sup>Downey, p. 303.
- <sup>7</sup>Sir James George Frazer, "The Perils of the Soul," in: The Golden Bough, third edition, 11 vols., London 1911-36, Vol. III, p. 27.
- <sup>8</sup>ibid.
- <sup>9</sup>ibid.
- <sup>10</sup>ibid.
- <sup>11</sup>Frazer, p. 28.
- <sup>12</sup>Åke Hulthkrantz, Conceptions of the Soul Among North American Indians. A Study in Religious Ethnology, Stockholm, 1953, p. 356.
- <sup>13</sup>Ivar Paulson, Die primitiven Seelenvorstellungen der nord-eurasischen Völker, Stockholm, 1958, p. 304. Equally interesting is Paulson's discussion of the "identity of the free-soul and the personality," ibid., pp.269-273.



- <sup>14</sup>Oscar Wilde, The Picture of Dorian Gray, Harmondsworth, 1961, p. 120.
- <sup>15</sup>Spiegelzauber, p. 85.
- <sup>16</sup>Handwörterbuch des deutschen Aberglaubens, ed. H. Bächtold-Stäubli, Berlin, 1927-42, Vol. IX, p. 573. It is understood that Doppelgänger and Seele are also discussed under separate headings.
- <sup>17</sup>Guy de Maupassant, Oeuvres complètes, Paris, 1927, Vol. IX, Le Horla, p. 32.
- <sup>18</sup>Spiegelzauber, pp. 188-9.
- <sup>19</sup>Eugène Azam, Hypnotisme, double conscience et altérations de la personnalité, Paris, 1887, p. 237.
- <sup>20</sup>The New Golden Bough, ed. Theodor H. Gaster, New York, 1959, p. 150.
- <sup>21</sup>Rosette Dubal, La psychanalyse du diable, Paris, 1953, p. 68.
- <sup>22</sup>reprinted from Spiegelzauber, p. 170. The original source appears in the legend.
- <sup>23</sup>The Picture of Dorian Gray, p. 247.
- <sup>24</sup>Spiegelzauber, p. 101.
- <sup>25</sup>Spiegelzauber, p. 165.
- <sup>26</sup>R. D. Laing, The Divided Self, Harmondsworth, 1970, pp. 99-100.
- <sup>27</sup>The Works of the Late Edgar Allan Poe, ed. N.P. Willis, New York (Redfield), 1858, Vol. I, p. 434.
- <sup>28</sup>The Tragedy of Richard the Third, V, iii.
- <sup>29</sup>Emil Lucka, "Verdoppelungen des Ich," in: Preussische Jahrbücher, CXV (1904), 69.





<sup>30</sup>Lucka, "Verdoppelungen," p. 56.

<sup>31</sup>Saul Bellow, Dangling Man, New York, 1964, pp. 134-9.

<sup>32</sup>Thomas Mann, Gesammelte Werke, 12 vols., Frankfurt (Fischer) 1960, Vol. VI, p. 295.

<sup>33</sup>ibid., pp. 303-308.

<sup>34</sup>Middelnederlandse Marialegenden, ed. C.G.N. de Vooys, Part I, Leiden, 1921 (?), p. 40.

"Presently the devil said, 'well, I have provided you with the proper reward; but Maria whom you serve, for the sake of the pity which she has for you, has forced me with her powers that I must do what I am now doing.' Thereupon, the devil opened the stocks and freed the cleric from it. And he told him that he should leave. And the devil went to sit in the stocks (in the shape of the cleric). And the cleric went secretly back to his cell."

<sup>35</sup>For a thorough analysis of this motif see Robert Guiette, La légende de la sacristine, Paris, 1927. Guiette quotes as a basic variety of this motif a Latin version from Caesarii Heisterbacensis Dialogus Miraculorum. In this version, the nun returns after fifteen years to inquire about herself and learns that she is leading a saintly life:

Ille verba . . . non intellegens, dum abire  
vellet, mater misericordie, in effigie nota,  
ei apparens, ait: Ego per quindecim annos  
absentie tue officium tuum supplevi. Revertere  
nunc in locum tuum, et penitentiam age, quia  
nullus hominum novit excessum tuum . . . .  
(p. 19)

<sup>36</sup>ibid.

<sup>37</sup>ibid.



<sup>38</sup>Middel nederlandse Marialegenden, Part I, p. 23.

"The woman was alarmed and frightened for she was not accustomed to travel with him. And devotedly she asked Mary the Mother of God that she might protect her from everything that might threaten her. And she sat upon a horse and rode with her husband and when they had ridden a stretch there stood by the path a little chapel. The woman asked her husband to let her go in and say her prayers for she still had her doubts about a good outcome of this journey. The knight held the horse and she went into the church and spoke her prayers. And she commended herself to Mary the Mother of God and in her prayer she became unconscious. And the knight grumbled that he had to tarry for such a long while. Behold there came the Virgin and Mother of God Mary in the likeness of the woman, of body as well as of habit similar to the knight's wife. And she sat upon the horse and rode with the knight. And the knight knew no better than that she was his wife. But his wife remained asleep in the chapel."

<sup>39</sup>Middel nederlandse Marialegenden, Part II, p. 197.

<sup>40</sup>Middel nederlandse Marialegenden, Part I, p. 56.

"And many masses were read there, one after the other. And for the sake of his love of Our Dear Lady he did not wish to leave any mass unheard. At last when all masses were read he left the monastery and went hurriedly to the joust. And behold there came to meet him knights and noblemen from the joust. And they told him how valiantly he had jousted. And some came and told him that they were his prisoners. And when they told him all that (those who came to meet him) the knight did well understand that the highest queen, Mary the Virgin and Mother of God had honoured him supremely. And he told all the people what he had really done."

<sup>41</sup>Georg Wilhelm Friedrich Hegel, Phänomenologie des Geistes, Hamburg, 1952, p. 158.





<sup>42</sup>Laing, The Divided Self, p. 103.

<sup>43</sup>Robert Louis Stevenson, Dr. Jekyll and Mr. Hyde, London, 1961, p. 51.

<sup>44</sup>Azam, Hypnotisme, p. 68.

<sup>45</sup>Hermann Hesse, Gesammelte Schriften, 7 vols., Berlin, 1958, Steppenwolf, Vol. IV, pp. 224-254.



### CHAPTER III

#### ACCOMPANYING FUNCTIONS IN THE PROCESS OF DOUBLE EXISTENCE

The analysis of doubleganger was based so far on literary descriptions of some state of double existence. It was confined as much as possible to an appearance of hero and double in terms of attitudes, characteristics, and typical verbal or phenomenological attributes. The universal concepts applicable in such static pictures of double existence were those of projection and reflection. Projection and reflection involved a medium which obtains or possesses the faculty to split one personality in two, or to unite two personalities in one. The universal description of this medium was reduced to the interaction of its two basic components, umbra and speculum. These components were seen to function as correlatives.

We may conclude that the literary confrontation of someone with himself can be universally described by three pairs of correlatives, namely, the concepts of reflection and projection, the self and his Other One, and the components of umbra and speculum, all of which are manipulated by a medium as a container of this twoness in one.

Having established the general characteristics of doubleganger in their state of confrontation, we now turn to analysing some of the more prominent features which determine their mutual appearance in such state. This done, we shall then proceed to observe how





these features are retained or modified when the state of double existence is set into motion, and when the attitudes of hero and double become actions and reactions, and the attributes of the medium become working momenta.

This will require some elimination, in the continuing discussion, of particular properties and qualities of the double. The understanding that each typical member of either wirkungskreis, as well as each typical trait associated with reflection or projection, potentially comprises the others, will make this elimination legitimate. Points of departure for the coming discussion will be the types twin (component of reflection) and tempter-scapegoat (component of projection), both of which are to represent their entire wirkungskreis, i.e. shadow-reflection-image-hallucination-mirror, and soul-conscience-spirit-unhappy consciousness.

Three examples will follow here in which reflection and projection are correlatives, and which together represent the manifest appearance of the above types.

- (1) . . . Adam verliert seine göttliche Natur und seine Unsterblichkeit, weil er sich im Spiegel erblickt und sich in sein Ebenbild verliebt.<sup>1</sup>

(The glance into the mirror represents reflection, falling in love represents projection: sich in sein Ebenbild verlieben is to project oneself into the mirror).

- (2) They say that Narcissus looked into this water, and not perceiving that what he saw was his own reflection, fell in love with himself unaware, and died of love at the spring. But it is sheer folly to suppose that a person who has reached the age



of falling in love should be unable to distinguish between a man and his reflection. There is another story about Narcissus which, though less known than the former, is also current. He had, it is said, a twin sister who resembled him in every feature, and their hair was the same, and they dressed alike, and went hunting together. But Narcissus loved his sister, and when the girl died he used to haunt the spring, knowing that what he saw was his own reflection, but finding solace in imagining that he was looking, not at his own reflection, but at his sister's likeness.<sup>2</sup>

(This passage represents two varieties of the same theme, each of which contains projection as well as reflection).

(3) The following story is told by Edward, the hero of Döblin's Hamlet.

Sie ist ganz kurz. Von einem Löwen und einem See . . .  
Der Löwe und sein Spiegelbild. Es lebte auf einem  
Berg ein Löwe. Der Berg hieß Mondora. Der Name des  
Löwen--ich habe ihn vergessen . . . .

Nun gab es auf dem Berg Mondora einen glatten Teich,  
zu dem der Löwe wanderte, wenn er Durst hatte. Und  
immer wenn er soff, trübte sich das Wasser. Der  
Spiegel des Teichs verzerrte sich, der Löwe erkannte  
sich nicht.

Once, the lion does not drink immediately. It is then  
that he first notices the existence of another being in  
the water.

Es kam aus dem Wasser herauf ein riesiger Kopf, eine  
dicke, schwere, blutrot lechzende Zunge: eine schreck-  
liche Zunge. Der Löwe fuhr zurück. Dann rührte er  
sich nicht--aus Furcht. Er wartete . . . .





Es erfolgte nichts. Er stellte sich langsam auf, zog sich zurück, und nun, einige Meter vom Teich entfernt, brüllte er auf, brüllte über das Wasser, um das herauszufordern, was sich da versteckte. Nichts regte sich.

The confrontation is repeated several times until,

. . . als sich nichts rührte, machte er einen rasenden verzweifelten Anlauf und sprang, sprang mit einem ungeheuren Satz jenem an die Kehle. Er klatschte nur ins Wasser. Und stürzte und packte ihn nicht und fasste ihn nicht und schlug und tastete nach ihm, nach dem Widersacher, der ihm entwichte, und warf sich um und griff ihn nicht und suchte und schluckte und fand und fasste ihn nicht. Und versank im Wasser. Das Wasser gurgelte über ihm . . . .<sup>3</sup>

(This example depicts a series of states of confrontation, which again alternate in the aspects of reflection and projection).

A detailed comparison of these examples shows that they have in common a great many phenomenological characteristics. Although it is manifestly and verbally noted only in the second Narcissus episode, the twin appearance is obvious in all cases. The tempter-scapegoat quality is in each case a joint factor. By implication, the Ebenbild of the first example must take the blame for the loss of immortality, after the hero has been enticed to fall in love with himself: "Adam verliert . . . seine Unsterblichkeit, weil er sich . . . in sein Ebenbild verliebt." The tempter quality, though implied in this case, is more prominent in the passage from Pausanias, whereas the last example pictures the scapegoat quality very obviously.



As in the state of appearance of doubleganger reflection and projection are correlatives in each case, umbra and speculum are observed to function accordingly. The point of further comparison is the question of similarity, with respect to the dominant hero. For the twin property, as a universal type in reflection, seems to postulate an identity of doubleganger, notably one of appearance, while the quality of tempter-scapegoat seems to contradict the notion of a dominant hero.

This paradox is explained by the fact that the medium operates, in the process of double existence, on the basis of accompanying functions which appear in pairs, and are, like the personalities manipulated by the medium, correlatives. These accompanying functions form a wirkungskreis of six types. Their universal expression is, from the point of view of reflection, the concept of similarity-dissimilarity, and from the point of view of projection, the concept of autosite-parasite. Since these components determine the mutual features of hero and double in the widest possible sense, they are by general definition, basic tendencies of doubleganger. In their capacity of accompanying functions of the phenomenon, these tendencies are always present in pairs, and they are essentially inseparable. The dualsim of two descriptions is typical for any doubleganger situation; accordingly, the function of one part of these concepts always correlates with that of the counterpart, and their contradictory as well as complementary interaction constitutes the phenomenological equilibrium.

Narcissus and his twin sister are similar beyond the ordinary notion of similarity. She resembles him "in every feature, and their hair [is] the same, and they dress alike." This unusual





similarity and tendency to assimilate the two identities to one and the same is counterbalanced by the strong factor of dissimilarity which accompanies the property of twin-likeness, i.e. the fact that there are here two heterogeneous identities of personality which, in addition, differ in sex. In the confrontation of doubleganger evolving from this, where Narcissus haunts the spring, ". . . knowing that what he saw was his own reflection, but finding solace in imagining that he was looking, not at his own reflection, but at his sister's likeness," the function of similarity-dissimilarity has shifted to the degree to which the former double existence has changed to an actual presentation of doubleganger, i.e. a single existence in two. Here, dissimilarity argues against what exactly makes the self and the Other One similar. "He was looking, not at his reflection, but at his sister's likeness." But the twin resemblance has now assumed the function of similarity, and the fundamental differences of the former pair, namely of identity and sex, have been cancelled out, and are counterbalanced in the appearance of the male hero confronting the effeminate double.

The same sort of equilibrium can be seen to determine the autosite-parasite relationship of hero and double. In the first part of example (2) the parasite function is manifestly attributed to the hero whose absolute dependence on the Other One becomes a matter of life and death. Implied, however, is the fact that the parasite attributes are with the personality of the image who consumes, as it were, the hero. These features are more obviously accounted for in Ovid's presentation of the same theme, even to the very point of parasitical nourishment.



"quo refugis? remane nec me, crudelis, amantem, desere!" clamavit; "liceat, quod tangere non est, adspicere et misero praeberere alimenta furori!"<sup>4</sup>

and,

. . . sed ut intabescere flavae  
igne levi cerae matutinaeque pruinae  
sole tepente solent, sic attenuatus amore  
liquitur et tecto paullatim carpitur igni.<sup>5</sup>

Immediately connected with the functions of similarity-dissimilarity and autosite-parasite as tendencies which accompany the confrontation of doubleganger are the tendencies involved in their reaction upon such confrontation. These are, initially, the concepts of recognition-non-recognition, corresponding with similarity-dissimilarity, and dominance-submissiveness, corresponding with the autosite-parasite relationship. When the process of double existence is well under way, recognition-non-recognition and dominance-submissiveness are supplemented by yet another pair of accompanying functions, namely, the correlatives fondness-fear (love-loathing) and attraction-flight (attraction-aggression). This set of six phenomenological attributes forms a wirkungskreis which as a total describes the symptomatic tendencies in the confrontation, reaction and interaction of doubleganger. Each type of these six general tendencies is an integral part of the wirkungskreis as a whole and therefore comprises in its particular appearance the other five.

A comparative study of the three examples introduced in this chapter will show, if we venture to treat these passages as representatives of modified particulars of the same phenomenon, that





the total of context so viewed contains all the characteristics of the three wirkungskreise which accompany the appearance of doubleganger. And although the texts were selected with a particular view on twin-existence as a typical property and the tempter-scapegoat as a typical quality of each of the concepts of reflection and projection, yet we find an abundance of additional types of features present. Nominal attributes to represent the properties of reflection, image, mirror, are Spiegel and Ebenbild in example (1); Spiegelbild, glatter Teich, Spiegel des Teichs and Wasser in example (3). Nominally represented as an attribute of the unhappy consciousness in terms of madness-insanity are the words "folly" in example (2). In (3), the name Widersacher represents the variety of attributes interlinked with folly: the idiot, the clown, the dupe, the fool, the buffoon, the Hanswurst and Spaßmacher, the monkey, the ape, and the devil. (I should add, for comparative purposes, two types of motif in folklore, one in which a dragon attacks his own image in a mirror, the other in which a hare dupes a lion by frightening him with his own image in the mirror).<sup>6</sup>

Immanent, or latently contained, are the properties of hallucination and shadow in the three scenes as a whole, notably hallucination, in phrases like "but finding solace in imagining that he was looking . . . at his sister's likeness," or "er . . . brüllte über das Wasser, um das herauszufordern, was sich da versteckte."

Immanent is also the quality of the unhappy consciousness, particularly in the latter parts of examples (2) and (3). The loss of balance in the hero's state of mind happens through his action and reaction upon confrontation.





All these factors, together with the typical properties and qualities mentioned earlier on, can be observed to interact with what we termed accompanying functions of double existence. The phenomenological equilibrium of these correlatives is established by the necessary shift of point of view in the observation of each process of double existence. Non-recognition seems to dominate Adam's and the Lion's behavior. In both cases, the factor of recognition is with the outside observer, who sees the literary facts other than from the hero's point of view, i.e. who identifies hero and double as doubleganger by virtue of factors that imply recognition, especially mirroring properties and qualities present in the scene.

In the case of Pausanias' Narcissus we have, however, an interaction of non-recognition-recognition in the sense that the latter factor represents the interpretive content of the context in question. The complexity of interaction and counterbalance between the component of non-recognition-recognition, as well as those of the other five types in the wirkungskreis, depends on, and is directly related to, the complexity of the corresponding process of double existence. Where a sequence of words merely describes a random scene, or depicts a state of double existence, the accompanying functions are likely to appear as tendencies in the sense of potential reactions, and they would represent aspects of such a state rather than working moments. "Der Spiegel des Teichs verzerrte sich, der Löwe erkannte sich nicht." We have here a particular state of reflection in which the medium is blurred; non-recognition is therefore a fractional aspect accompanying this particular state. The process of double existence as a whole,





however, involves the hero Edward of the literary framework of this narration, Edward himself being the narrator at this point. The conclusion of his story makes it quite clear that the ambivalent presence of recognition is manifest; commenting on his statement that he had forgotten the Lion's name, Edward remarks: "Jetzt weiß ich auch, warum ich den Namen des Löwen vergessen habe. Ich--war es selber."<sup>7</sup>

Ovid's Narcissus, who "spem sine corpore amat, corpus putat esse, quod umbra est," recognizes at a later stage:

iste ego sum: sensi, nec me mea fallit imago;  
uror amore mei: flammis moveoque feroque.<sup>8</sup>

In a state of double existence the six double functions are therefore present often in fractional halves; they represent, under these conditions, attributive factors in the hero's state of projection, or reflection. Those which dominate in a particular confrontation will vary from case to case. In Sosias' initial confrontation with Merkur in der Gestalt des Sosias, non-recognition and fear dominate. (Note the nominal presence of Teufel and Hanswurst).

Wer, Teufel hat den Kerl mir dort geboren?  
Von Todesschrecken fühl' ich mich ergriffen,  
Die mir den Atem stocken machen.  
Hätt' ihn die Hölle ausgeworfen,  
Es könnt entgeisternder mir nicht sein Anblick sein.  
--Jedoch vielleicht geht's dem Hanswurst wie mir . . .<sup>9</sup>

In a case history of twins reared apart, non-recognition and recognition are equally represented, and are interlinked with similarity-dissimilarity. "The twins met for tea most Sundays. Vera did



not know till 11 that she was (unofficially) adopted, but Maisie always knew Vera was her twin. Vera resented references to the close resemblance between the twins."<sup>10</sup>

In another case from the same study non-recognition is involved as a tendency to cancel out recognition in terms of similarity. "They first met at seven when they stared at each other in amazement and wanted to change clothes."<sup>11</sup>

In a scene from Marcel Aymé's La belle image the hero's non-recognition counterbalances the apparition of the "mirror-twin double" by producing an interior, if verbal, dissimilarity to contradict the visually manifest similarity. The self's belle image appears thus in confrontation with a rather uncouth self (" . . . lourd, voilà ce qu'il est"): "Durant une fraction de seconde, j'eus devant moi le reflet de mes deux yeux. L'image furtive mais nette, était celle de deux grands yeux clairs, au regard mou et rêveur, en tout différents des miens qui sont noirs, petits, enfoncés."<sup>12</sup>

The same observation can be made with regard to the functions of autosite-parasite, fondness-fear (love-loathing) and attraction-flight (attraction-aggression). In various states of reflection and projection we observe these to function merely as attributive aspects. Ovid's Narcissus is usually remembered meeting the beauty of his image with love, fondness and attraction. A similar scene from The Picture of Dorian Gray is dominated by loathing: "Then he loathed his own beauty, and flinging the mirror on the floor, crushed it into silver splinters . . . ." <sup>13</sup>

Fondness and attraction determine the following scene (The Tragedy of Richard the Third, I, ii):





I'll be at charges for a looking-glass,  
 And entertain a score or two of tailors,  
 To study fashions to adorn my body:  
 Since I am crept in favour with myself,  
 I will maintain it with some little cost . . . .

What Richard, beholding umbra and speculum, answers with love, fondness, attraction and recognition, is reason for Herakles to destroy, for Levin to flee from: ". . . seine eigene Heldengebärde erschien ihm als das Drohen eines Feindes, er griff zu einem Stein und zerschmetterte so das schöne Denkmal . . ." <sup>14</sup> and, "Wandering he cast love-sick glances at both brown-bottled tavern windows . . . until broken by weariness he pushed through a door and stood solemnly at a bar. 'What'll it be?' said the hairy bartender. 'Love,' Levin said, and as the man reached for the bottle, fled." <sup>15</sup>

In more complex doubleganger situations and, finally, in a complete process of double existence, the wirkungskreis of the six accompanying functions will itself attain its full complexity. The correlatives of each of the double functions will, accordingly, gain in scope in two respects. Firstly, where the correlatives served as aspects or attributes in the state of double existence, they will, when doubleganger are found in action, represent dualistic tendencies which determine the mutual appearance of the pair. Secondly, they will, as tendencies, modify the reactions and interactions of doubleganger upon and among each other. Recognition-non-recognition as a reaction modifies thus the appearance of the pair in terms of similarity-dissimilarity as well as their interaction in terms of love-loathing (fondness-fear). Dominance-submissiveness modifies the appearance of doubleganger in view of the





autosite-parasite tendencies, and their interaction in terms of attraction-flight (attraction-aggression). Some typical stages at which doubleganger arrive during the process of their interaction shall be discussed in the following.

It was shown in connection with the wirkungskreise of typical properties and qualities of the double that a particular double-ganger situation is in most cases dominated by the one or the other type or a combination of several. A similar observation can be made regarding the wirkungskreis of accompanying functions in the process of double existence. At each stage of such an existence, one particular type or a combination of several of these functions seems to dominate, representing, as it were, a typical theme of doubleganger in action.

One way to illustrate this is to point to the fundamental significance of the autosite-parasite function. This function can be related to the twinship of doubleganger and examples can be given which explain their interaction as a fraternal conflict. At the same time, the attributive modification of parasite, in terms of monster, vampire, intruder, usurper, must be pointed out.

A second approach is based on the fact that non-recognition on the hero's part is coupled with an appearance of the double which can be universally described in no other terms than those of similarity-dissimilarity. It will then be recognized that absolute similarity in external features is not necessarily accompanied by recognition as a state of mind in the hero; nor has the fact that the faculties of hero and double are in every respect expressly dissimilar any influence at all on whether they love or fear, attract or flee each other.





The process of human duplication, as described in Pathology of the Fetus and Infant, may serve as an adequate point of departure for this part of our discussion. According to this text human duplication develops three basic varieties:

- (1) Free monozygotic twins
- (2) Joined twins in which the components, or component parts, are equal and symmetrical
- (3) Unequal and assymmetrical conjoined twins<sup>16</sup>

It is evident at once that this three point classification is a description of modified particulars of the same phenomenon. In this sense, point two and three are descriptions of twin appearances in which the latent accompanying functions of free monozygotic twins become manifest in physical terms: "Conjoined twins or double monsters vary widely from those in which two well developed individuals exist and are separate except for a minor superficial connection, to those in which only a small part of the body is duplicated or in which amorphous masses of tissue . . . are found in the body or attached to the exterior of an otherwise normal individual."<sup>17</sup>

An added description of what was above termed "unequal and assymmetrical conjoined twins" makes the autosite-parasite function the dominant theme in this particular appearance of doubleganger:

"These monsters consist of two members of very equal degrees of development, the one (autosite) being normal or nearly so and the other (parasite) being incomplete and attached to the first as a dependent growth . . ."<sup>18</sup>





We note that the external appearance of such a pair is marked by the function of dissimilarity while similarity is immanent, expressing the sameness of personality. The nominal attributes of autosite and parasite are significantly supplemented by the term "monster." It is indeed very important to remark that this faculty applies in the plural: the fact that the very presence of the Other One makes the hero equally a monster is one more example for the dialectic application of all attributes in double existence.

"James Paris gives an account of twin brothers that were exhibited in London in 1716. He states: 'The biggest was born a perfect man, well-proportioned and from his right side issued a little above his hip, a body of a man from the middle upward perfectly shaped with hands, arms and head. He could eat and drink with good appetite, could speak distinctly and had a very good sight.'" <sup>19</sup> In the present case, and from the hero's point of view, the monster is, by virtue of his constitution, the Other One. From the outside observer's point of view however, the hero is equally a monster for the very reason that he "possesses" a parasite, or is possessed by one. In this sense, too, similarity as counterbalancing dissimilar appearance, is evident.

This example establishes the fundamentals of the autosite-parasite relationship in literary doubleganger. In a given case of separate doubleganger, where autosite and parasite are present to the full extent, (i.e. where both mark the appearance of individual halves as well as the tendencies of their interexistence), it will be observed that there prevails an equilibrium in the distribution of similar and dissimilar attributes. It may be the case, for instance,





that at one point of their interaction the double is noted for his parasitic features. At such a point, the function of parasite will be with the hero in the same order of magnitude, be it that the function describes his state of mind, or that he possesses the attitudes of a parasite in his reaction upon confrontation. This must be considered when looking more closely at some of the attributive modifications of the parasite, such as monster, vampire, intruder, usurper.

The following examples are clear-cut: the parasite takes shape as a usurper or intruder. ". . . parasite having legs and more or less of the lower part of the body, usually attached in the same region . . ." ". . . parasite developed in the autosite, usually in the body cavity but occasionally in other regions . . ." <sup>20</sup>

But in more complex situations these attributes modify the appearance of the double only insofar as the hero potentially harbours them. This is best illustrated with the case of the Horla, a parasite whose physical constitution is reduced to non-existence. The Horla, at this beginning stage of doubleganger conflict, is a non-substantial quelqu'un whose sole function is that of a vampire-parasite. ". . . je suis certain, maintenant, certain comme de l'alternance des jours et des nuits, qu'il existe près de moi un être invisible, qui se nourrit de lait et d'eau, qui peut toucher aux choses, les prendre et les changer de place, doué par conséquent d'une nature matérielle, bien qu'imperceptible par nos sens, et qui habite comme moi, sous mon toit . . ." <sup>21</sup>

It is the hero, then, who stimulates the emancipation of the Other One qua parasite, and it is his feelings that harbour the parasit-





ical attitudes. The Horla is the impersonator of the hero's void existence, he is the duplication of the hero in the hero's terms: non-substantial and parasitical. The features of the vampire, monster, intruder, and usurper stand out clearly in this passage. We add another scene from the same story for further illustration.

"Cette nuit, j'ai senti quelqu'un accroupi sur moi, et qui, sa bouche sur la mienne, buvait ma vie entre mes lèvres. Oui, il la puisait dans ma gorge, comme aurait fait une sangsue. Puis il s'est levé, repu, et moi je me suis réveillé, tellement meurtri, brisé, anéanti, que je ne pouvais plus remuer."<sup>22</sup>

The usurpation by the dominant parasite can take on a multitude of forms. The following two examples are particularly interesting because they involve the appearance of the monster as well as the familiar love-hate dialectic.

. . . the self-self relationship provides the internal setting for violent attacks between warring phantoms inside . . . . It is in fact such attacks from such inner phantoms that compel the individual to say he has been murdered, or that "he" has murdered his "self." In the last resort, however, even speaking in "schizophrenese," it is in fact impossible to murder the inner phantom "self" although it is possible to cut one's throat. A ghost cannot be killed. What may happen is that the place and function of the inner phantom "self" become almost completely "taken over" by archetypical agencies which appear to be in complete control and dominate all aspects of the individual's being. The task in therapy then comes to be to make contact with the original "self" of the individual which, or who, we must believe, is still a possibility, if not an actuality, and can still be nursed back to a feasible life.<sup>23</sup>





His figure is said to have been remarkable for its grace and his face was that of an Antinous, but upon the back of his head was another face, that of a beautiful girl, lovely as a dream yet hideous as a devil.

The female face was a mere mask, occupying only a small portion of the posterior part of the skull, yet exhibiting every sign of intelligence of a particularly malignant kind.

It would be seen to smile and sneer while the face of the young man was weeping. The eyes would follow the movements of the spectator and the lips would "gibber without ceasing."

No voice was audible, but the young man averred that he was kept from his rest at night by the hateful whispers of his "devil twin" as he called it, "which never sleeps but talks to me for ever of such things as they only speak of in hell. No imagination can conceive the dreadful temptations it sets before me. For some unforgiven wickedness of my forefathers, I am knit to this fiend--for a fiend it surely is.

I beg and beseech you," he said to his physicians, Drs. Manvers and Treadwell, "to crush it out of human semblance, even if I die for it."

He lived in complete seclusion, refusing the visits even of the members of his own family.

Although a man of fine attainments, a profound scholar and a musician of rare ability, he lived the life of a recluse and never claimed heirship to the title.

In spite of careful watching he managed to procure poison and killed himself at the age of twenty-three.

He left a letter requesting that the "demon face" might be destroyed before his burial "lest it continues its dreadful whisperings in my grave." At his own wish he was interred in "a waste piece of ground without stone or legend to mark the grave."<sup>24</sup>





The reader who is familiar with some doubleganger conflicts in literature will no doubt recognize these features as typical for the autosite-parasite relationship. Parallel examples are plentiful, and descriptions vary widely from case to case; but whether the bondage is, as in double monsters, purely physical, or whether as in more complex events, the double is seen by the hero as

" . . . der wesenlose entsetzliche Teufel des Wahnsinns, der hinter mir herrannte, der, wie ein mich bis ins Innerste zerfleischendes Untier, aufhockte auf meinen Schultern,"<sup>25</sup> in all instances we find the accompanying function of autosite-parasite modified by attributes that comprise the monster, the vampire, the intruder, and the usurper. These three qualities combined, and in some cases slightly altered, mainly by traits which indicate deformity (not necessarily physical, as we have seen), can now be linked with the wirkungskreise of media of the self's reflection and projection, as well as with all concomitant phenomena of these wirkungskreise. The phenomenological link is thus one of attributes associated with parasite-usurpation i.e. the dwarf, the mock-up, the animal monster, the hunchback, the freak, etc., with attributes associated with madness-insanity-folly (projection), namely, the idiot, the dupe, the clown, the fool, the buffoon (cuckold), the Hanswurst, the monkey, the devil.

However, hideousness, monstrosity and deformity underlying the function of autosite-parasite are only one side of the coin. The pair is, in these terms, "scarce half made up" and it is relevant to consider "the shadow in the sun." In other words, demoniac hypostasis is a partial expression of the autosite-parasite tendency. Its pendant and complement is the angelic counterpart. Both notions





are therefore dubious and ambivalent in themselves, and they make sense only when we regard them as a double concept which offers a particular variation of the accompanying function of autosite-parasite.

The distribution of beauty and hideousness between Dorian Gray and "The Picture" is a case in point. Throughout the book, there can be observed a constantly dialectic interaction of demoniac and angelic features in terms of external and internal traits in the pair.

Another interesting example presents itself in a certain variety of folk tales and legends in which a proud king and his humiliation is the leading motif, for in a number of these cases the usurper who robs the king of crown, throne and spouse, even threatens his very existence as an individual to the point of annihilation, appears in the form of an angelic double. This usurpation by an angel in the protagonist's features often results in the un-frocked king assuming the features or playing the rôle of, the idiot, the dupe, the clown, the fool, the cuckold, and the devil.<sup>26</sup>

We can observe, in this connection, the typical behaviour of umbra and speculum as fundamental components of the media of reflection and projection. In nearly all versions of the tale, as they are reported by Varnhagen, the protagonist's taking a bath is not only coincidental with the beginning of his loss of identity, but is also the point in each version when the double appears. For example, according to an assumed prototype version, "Als er sich eines Tages auf der Jagd erhitzt hatte und ein Wasser erblickte, entfernte er sich von seinem Gefolge, entkleidete sich und stieg hinein.





Während er noch darin verweilte, erschien ein Engel, verwandelte des Königs Aussehen und Gestalt, nahm selbst diese an, legte seine Kleider an, bestieg sein Pferd . . ."<sup>27</sup> Thus, while the hero submerges beneath the surface of speculum, umbra emerges as a spiritual projection, to take possession of the hero's properties and become his double.

Examples from this variety of legends and tales may also adequately illustrate that the distribution of similarity-dissimilarity happens in much the same way as that of beauty and hideousness or of demoniac and angelic features in the pair. The various degrees of possible similarity in the external features of doubleganger have already been indicated in the states of projection and reflection. Dissimilarity of internal traits or attitudes in the pair was seen to vary to very much the same extent. In the above example we have, in addition to kleidertausch (which actually seems no longer necessary) a fully developed gestaltentausch: not only does the angel assume similarity but he changes the features of him whose shape he took on. Thus, the angel's similarity with the king's external features coincides, or is in contrast with, the dissimilarity of internal (in this case emotional, intellectual and spiritual) traits in the pair (pride-humility). At the same time, the equilibrium is maintained by certain functions of similarity, for example that now both imposter and victim are king and that the former king's pride continues in humility while the angelic humility exists in royal pride.

In the case of the legend as reported in Gesta Romanorum this equilibrium takes on a different form, notably because there is no





exchange of shapes and features. The angel, who for the time being is described as "some man," already appears in the emperor's likeness and does not take the trouble to distort Jovinianus' features. He just puts on his clothes and rides off. The scene begins with the bath: ". . . ad aquam festinanter equitabat, de equo descendit, omnia vestimenta deposuit, aquam intravit, et tamdiu ibi remansit, quousque totaliter refrigeratus esset. Dum ibidem expectasset, venit quidam homo, ei per omnia similis in vultu et gestu, et induit se vestimentis ejus, dextrarium ejus ascendit, et ad milites equitavit."<sup>28</sup>

The dissimilarity in this and similar cases is achieved by involving recognition-non-recognition, for, as we shall see shortly, the imposter succeeds, and the victim is not recognized, in spite of similarity. In the process of double existence there is in fact taking place a constant change in the equilibrium of similarity-dissimilarity, so that the two extremes of total similarity and total dissimilarity of external features must be regarded as possible points or stages of double existence, or transitory moments in the greater doubleganger event.

This can go so far that even the "mirror-twin brother" who by definition is "totally similar" (at least externally) does in some cases acquire strong features of external dissimilarity. The case history of John and Albert, from the study on monozygotic twins, may serve as a typical example.

Albert and John went around together till Albert started courting at twenty. Albert took the lead then as he does now when the twins are together. Except that Albert was left-handed there was no marked early physical difference between them.





The contrast between them is now quite striking. Albert is married with children. John is single; he looks after his elderly mother, and his recreations are solitary ones . . . . He has found a niche for himself distributing special advance copies of a magazine which the firm publishes. When the twins were seen, John refused to complete the dominoes. Their most outstanding difference was in facial expression. Albert has a mobile humorous expression, John has a longer-looking face with a rigid, miserable-looking expression: 'I was born unlucky,' he says. John is two stones lighter than Albert and he had an operation for duodenal ulcer when he was 25 . . . . The story is that when they were 19 they tossed a coin to decide who should take out a certain girl-- Albert won. A year later they met the same girl and Albert started courting her. 5 years later they married. It was then that John had to have the operation which disclosed his ulcer.<sup>29</sup>

The interesting point in this example is that the change of similarity-dissimilarity expresses directly the distribution of dominance-submissiveness in the pair. Another interesting factor is that John's dominance (usurpation) is "rationalized" by introducing a random token to mark the development of dissimilarity in their affairs. While it is recognized that the rationale for the use of similar tokens in the vast variety of the Two Brothers folk tales may differ somewhat from the tossing of a coin in the above case, there remains the curious resemblance that the introduction of the token itself symbolizes the separation of the pair in each case.

Kurt Ranke, in his study Die zwei Brüder, accounts for 770 known variations which have this motif.<sup>30</sup> In about half of these,





the brothers set out into the world and separate later on. In the rest, only one of the brothers leaves, while the other remains behind. Almost all cases, however, involve a random token which accompanies this separation. In one of these, it is the portrait of two princesses.<sup>31</sup> In those in which one brother remains behind, a skill test often decides who of the two will set out to win the princess.<sup>32</sup> In Grimm's fairy tale No.60, the token of separation is one knife: ". . . dann nahmen sie Abschied, versprachen sich brüderliche Liebe bis in den Tod und stießen das Messer, das ihnen der Pflegevater mitgegeben, in einen Baum; worauf der eine nach Osten, der andere nach Westen zog."<sup>33</sup>

The vast majority of these folk tales has it that only one of the brothers succeeds in his courtship and marries a princess or any girl of noble ancestry. In turn, his position is usually usurped by the second twin, although in many cases this "usurpation" involves the laying of the sword as a symbolum castitatis.

It is clear from these patterns that the distribution of similarity-dissimilarity cannot be severed from dominance-submissiveness, or autosite-parasite. It is also clear that no rational criteria can be found to interpret this distribution. The author of Monozygotic Twins, after a thorough discussion of case histories of twins reared apart and of twins brought up together, comes to the general conclusion that in most instances involving unexpected distributions of these functions, "cause and effect are difficult to disentangle."<sup>34</sup> The profound equilibrium of similarity-dissimilarity is aptly demonstrated in a summary statement from the same study.





- (1) Family environment can vary quite a lot [i.e. for twins reared apart] without obscuring basic similarity in a pair of genetically identical twins.
- (2) Even monozygotic twins brought up together can differ quite widely.<sup>35</sup>

Recognition-non-recognition, fondness-fear (love-loathing), and attraction-flight (attraction-aggression) are very closely related to each other in any doubleganger event. But the common, and perhaps natural notion that the hero will recognize a similar double, and abhor, loathe, or flee from, a dissimilar one is only true insofar as the contrary is true also. Recognition on the part of the hero may well be coupled with an appearance of a "totally dissimilar double;" on the other hand the hero may not recognize at all even a twinship similarity between the two. The revelation iste ego sum may often come when it is least expected, that is to say, not as a reaction upon confrontation with his twin-likeness, as is the case in Ovid's Narcissus episode, but with a dissimilar alter ego. The cases of Pyotr Stepanovitch and Stavrogin, and Byron's Abel and Cain are examples.<sup>36</sup> The principium identitatis indiscernibilium is in itself an ambiguous notion. It is very much subject to the point of view of observation. The outside observer, or reader, may well apply this principle when facing a "totally dissimilar double." Yet the hero of this pair may just not discern the double in those terms.

Conversely, the hero may apply just that principle of non-recognition, when recognition on the part of the outside observer is only too obvious. A case in point is William Wilson's attitude towards





William Wilson "the second." The more obvious become the similarities between the two, the more vigorously we find the hero refusing to acknowledge the other, identify himself in him or even associate with him.<sup>37</sup> James Shields reports a number of cases in which twins reared apart would bear different attitudes toward each other; while one twin knows who the other is and recognizes him as a twin, the second twin does not realize his unique position. The following scene can be considered paradigmatic in this instance. "Robert was brought up in ignorance of his adoption and twinship until, on the occasion of their first meeting at a family wedding at the age of 10 or 11, Jim, who knew all along, told him."<sup>38</sup>

In other cases, the recognition of similarity is followed by an attitude of non-recognition. In the following example, which is quite typical, this non-recognition is expressed by an attempt on both parts to cancel out similarity. "They first met at 7 when they stared at each other in amazement and wanted to change clothes."<sup>39</sup>

One last case may show that this attitude occurs not only as a momentary impulse, but can signify the interexistence of double-ganger. "The twins met for tea most Sundays. Vera did not know till 11 that she was (unofficially) adopted, but Maisie always knew Vera was her twin. Vera resented references to the close resemblance between the twins."<sup>40</sup>

There are indications in these last examples that fondness-fear (love-loathing) and attraction-flight (attraction-aggression) are distributed in a similar way. Usurpation-parasite seems to be the





point of departure in the following two examples, but it will soon be evident that the conflict begins to take the form of a dialectic struggle between love-loathing and attraction-aggression.

A most curious phenomenon of the personality, one which has been observed for centuries, but which has not yet received its full explanation, is that in which the individual seems to be the vehicle of a personality that is not his own. Someone else's personality seems to 'possess' him and to be finding expression through his words and actions, whereas the individual's own personality is temporarily 'lost' or 'gone.' This happens with all degrees of malignancy . . . . The dread of this occurring is one factor in the fear of engulfment and implosion. The individual may be afraid to like anyone, for he finds that he is under a compulsion to become like anyone he likes . . . . This is one motive for schizophrenic withdrawal.<sup>41</sup>

In the second case the partial functions of usurpation, parasite and even vampire do not appear until later in the plot where they are introduced, characteristically, by the hero himself. Love-loathing and attraction-aggression form a typical combination with similarity-dissimilarity and recognition-non-recognition.

All through his childhood he had been very fond of playing parts in front of the mirror. Now in front of the mirror he continued to play parts, but in this one special instance he allowed himself to become absorbed into the part he played (to be spontaneous). This he felt was his undoing. The parts he played in front of the mirror were always women's parts . . . . This was his present position, and this was his explanation for his phantastic get-up. For, he said, he found that he was driven





to dress up and act in his present manner as the only way to arrest the womanish part that threatened to engulf not only his actions but even his 'own' self as well, and to rob him of his much cherished control and mastery of his being. Why he was driven into playing this role, which he hated and which he knew everyone laughed at, he could not understand. But this 'schizophrenic' role was the only refuge he knew from being entirely engulfed by the woman who was inside him, and always seemed to be coming out of him.<sup>42</sup>

A significant factor which many of these cases have in common is that the existence of doubleganger implies an existential threat. The involvement of the six double functions in this context, alone or in combination with others, is a sign of the proportions of such a threat. The magnitude of the disturbance of equilibrium in the dialectic of these functions expresses directly how gravely the individual is threatened in his existence. The threat may range from slight mental discomfort to annihilation of identity.

As the last two examples have shown, the functions of dominance-submissiveness, autosite-parasite and recognition-non-recognition play a dominating rôle in this crisis. To upset their balance would be to aggravate the situation. In the case of the young man impersonating a woman non-recognition modifies usurpation (parasite), while recognition prevents usurpation: He could not understand why he played the rôle he hated, yet he knew that it was "the only refuge . . . from being entirely engulfed by the woman who was inside him." The overthrow of precisely this type of equilibrium in the accompanying functions of double existence would be tantamount to impending existential disaster.





In its most fundamental form this existential disaster can be brought on by upsetting the balance of recognition-non-recognition and/or autosite-parasite. A complete elimination of recognition might thus result in the annihilation of identity by way of madness, a complete takeover by the parasite in the extirpation of the original self. Henceforth these two basic forms of double-ganger crisis shall be known in this analysis as the Katherlieschen syndrome and absolute usurpation, respectively.

The Katherlieschen syndrome produces a peculiar type of double-ganger in which the Other One assumes the form of a "non-existent" spectre to the degree to which the self loses its identity. The state of double existence begins by upsetting the balance of recognition-non-recognition in favour of non-recognition. It all looks very harmless at the outset. Katherlieschen, half asleep, uses the sickle on her garments instead of applying it to the grain.

Wie Katherlieschen nach langem Schlaf wieder erwachte, stand es halb nackt da und sprach zu sich selber: "Bin ichs, oder bin ichs nicht? Ach, ich bins nicht!" Unterdessen wards Nacht, da lief Katherlieschen ins Dorf hinein, klopfte an ihres Mannes Fenster und rief: "Friederchen!" "Was ist denn?" "Möcht gern wissen, ob Katherlieschen drinnen ist." "Ja, ja, antwortete der Frieder, "es wird wohl drinnen liegen und schlafen." Sprach sie: "Gut, dann bin ich gewiß schon zu Haus" und lief fort.<sup>43</sup>

This is a double existence provoked by self-projection, in which recognition-non-recognition initially functions in its usual dialectic ("Bin ichs, oder bin ichs nicht?" "Möcht gern wissen, ob Katherlieschen drinnen ist.") Simultaneously, however, by cancel-





ling out recognition ("Ach ich bins nicht!" "Gut, dann bin ich gewiß schon zu Haus") the "real self" is annihilated so that instead of a "double existence" or a "double self" a non-existence has resulted. For from the projecting self's point of view the real self is now in the house, while the remaining "double" has no recognized share in her existence as would normally be expected in doubleganger. Thus, the folk tale ends with left-over Katherlieschen having no place to go and roaming the village parson's parsnip patch. Characteristically, both a passer-by as well as the parson himself identify Katherlieschen's abandoned self with the devil.<sup>44</sup>

Usurpation in doubleganger is a fundamental and existential theme. Usurpation is phenomenologically concomitant with, and the basic expression of, the autosite-parasite relationship of doubleganger. All aspects of this accompanying function are symptomatic for an impending existential disaster. This disaster is most frequently brought on when the equilibrium in the autosite-parasite relationship is severely disturbed. An extreme form of such a disturbance is a situation in which the rôle of the autosite is cancelled out entirely or, rather, from which ensues a complete take-over by the parasite. The result of such a total take-over, or absolute usurpation is, as in the case of the Katherlieschen syndrome, the annihilation of the original self.

Most versions of the above-mentioned tale or legend of a proud king and his humiliation belong in this category, although in many cases the "absolute loss" of identity is only temporary, and in one way or another the banished king, prince, or emperor is re-





instated by his very usurper. However, Varhagen discusses one version in which this potential threat of an absolute loss of identity is fully realized.<sup>45</sup> I am referring to the "Fabel von eim Landsknecht" from Valentin Schumann's Nachtbüchlein.<sup>46</sup> This is a tale without angels and kings but it has the very characteristic bathing scene. As a matter of fact, the usurpation in this case not only takes place during the bath but right in the bathtub. The mercenary has just been granted the last of three wishes which was to look like the nobleman whose castle he approaches when the latter invites him in to have a bath. "Als sich der landtsknecht het außzogen und nacket alda stünd, sprange er fluchß zu dem edelmann inn sein wannen. Die knecht wolten in herauß-treyben, da kundten sie nicht erkennen, welches juncker oder landtsknecht wäre; dann sie zwen sahen einander so gleich, das sie keiner erkandt . . . ." <sup>47</sup>

The usurpation which at first looks as harmless as Katherlieschen's initial non-recognition suddenly takes on a drastic form when the nobleman's wife decides that not he but the mercenary is her husband. The Juncker is driven from the castle in the soldier's clothes.<sup>48</sup> By upsetting the equilibrium of the two forces, the parasite takes complete control and the autosite is eliminated entirely. The relationship of hero and double is thus not a balanced form of dominance-submissiveness in which the parasite has achieved dominance over a submissive autosite, but rather the rôle of the latter has been cancelled out so that an annihilation of identity has resulted.

In this particular example of absolute usurpation it is also interesting to study the involvement of similarity-dissimilarity





and recognition-non-recognition as important accompanying functions in the process of double existence. For unlike most tales of the same genre where similarity functions as a catalyst of usurpation (e.g. angel assuming king's likeness prior to take-over) and dissimilarity helps to reinstate the eliminated autosite (e.g. usurper revealing his true identity of guardian angel etc.), this case is one in which dissimilarity does not help to diminish but to reinforce the threat to the hero's existence. Indeed in the present example the precarious situation of the autosite's existence is aggravated by the very discovery of dissimilarity in the pair and the disaster follows hard on. For as a result of one of his fulfilled wishes the mercenary is endowed with an unusual measure of genital equipment and it is precisely this specific dissimilarity in the otherwise similar pair upon which hinges the wife's decision. When she beholds the difference she points out the soldier to be her husband.<sup>49</sup>

Finally, in this particular case the balance of recognition-non-recognition seems to be disturbed as gravely as in a case of the Katherlieschen syndrome, only in a converse sort of pattern, because here it is not the hero or self who fails to recognize himself, but the double who induces non-recognition and the environment and circumstances which cancel out recognition entirely.

All six accompanying functions of double existence convey this double existence insofar as they are double functions. Moreover as double functions they represent the dialectic of the process of double existence as well as the universal duplicity of that state of existence. A breaking-up of these double functions into independent single aspects, that is to say, a dissolution of the





dialectic and duplicity which these functions represent, will therefore be understood as a dissolution of the duplicity and dialectic of the kind of existence which they have conveyed. This termination of double existence is possible in three basic forms: single existence, non-existence and, in a combination of both, the annihilation of identity of one component in the pair (self) and the maintenance of the other component as a single existence (Other One). The Katherlieschen syndrome and absolute usurpation are typical examples of this phase, because they represent no unambiguous return to single existence: the "surviving" individual has to "live with" the identity of the self which he (she) attempted to banish and there are potential repercussions which might lead to existential disaster.

The most prominent pattern of return to single existence is one which represents the opposite of the Katherlieschen syndrome and absolute usurpation. The dominating functions in such cases are also autosite-parasite and recognition-non-recognition, but the dissolution of these double functions is achieved by eliminating the components of parasite and non-recognition. Two very prominent themes in doubleganger literature characterize the hero's return to singleness: the subjection of the parasite (achievement of moral maturity) and the accomplishment of self-recognition (achievement of intellectual maturity). The reinstatement of the emperor in the Jovinianus legend in Gesta Romanorum<sup>50</sup> and the solution of doubleganger existence in E.T.A. Hoffmann's Prinzessin Brambilla are cases in point.<sup>51</sup>

The termination of double existence in the form of non-existence (extinction of doubleganger) is the most drastic result of the





disturbance of equilibrium in the accompanying functions, or of their dissolution. In a more complex process of double existence the crisis is characterized by an elaborate conflict which usually involves all six functions, some already deteriorated and dissolved into single aspects, others still intact as double functions. These double functions become features, and their dissolved halves, phases of such a conflict.

In the tale of the lion and the lake which was introduced in the beginning of this chapter, the interaction of the six accompanying functions is developed full scale. Non-recognition and dissimilarity dominates the beginning of the episode: ". . . immer wenn er soff, trübte sich das Wasser. Der Spiegel des Teichs verzerrte sich, der Löwe erkannte sich nicht." Then similarity follows.

"Aber einmal schleppte er sich heran. Aber statt gleich zu saufen, streckte er sich lang aus und schob seinen furchtbaren königlichen Kopf über die Fläche und ließ die Zunge über dem Spiegel spielen. Und siehe da, er merkte etwas vor sich, unter sich. Es kam aus dem Wasser herauf ein riesiger Kopf . . ."

Similarity is established, if only by implication. But non-recognition continues to dominate. With it there is fear, aggression, attraction, flight, loathing: fondness and attraction, particularly, are re-enforced by the repetition of the lion's approach and withdrawal:

Er stellte sich langsam auf, zog sich zurück, und nun, einige Meter vom Teich entfernt, brüllte er auf, brüllte über das Wasser, um das herauszufordern, was sich da versteckte.



Nichts regte sich. Da schob er sich wieder an den Rand des Teiches, streckte sich vorsichtig aus--und siehe: mächtig, ungeheuer, grauenhaft kam es wieder aus der Tiefe heraus, Auge in Auge--wer? Wer kam da so lautlos von unten herauf . . . ?

Noch einmal versuchte der Löwe es. Wieder zog er sich zurück, stand auf, wieder hob er den furchtbaren Kopf und heulte grauenhaft. Er zitterte aber am ganzen Leibe. Diesmal schlich er nicht an den Teich. Er trabte zurück und duckte sich da.<sup>52</sup>

Fondness-fear, attraction-flight, love-loathing, and finally, attraction-aggression, have unleashed an animosity which will lead directly to conflict and destruction. In this, the accompanying functions of double existence become the agents and features of doubleganger conflict at large. Narcissus' self-emaciation in confrontation with his Other One and this Lion's annihilation of the Other One by merging with him in the mirror are symptoms of the same phenomenon.

The question arises why the number of accompanying functions in the process of double existence has been limited to the six types discussed in this chapter. It would appear that these so-called functions are only a few of a far greater number of possible opposites which may characterize the inter-existence of a pair with protagonist-antagonist tendencies. For example, such opposites as pride and humility, gluttony and asceticism, potency and impotence, valour and cowardice, good and evil etc., may conceivably become features in a given process of double existence which are as vital as, say, dominance-submissiveness or fondness-fear. Moreover, any of these opposites seems to possess the potential of becoming a





dominating theme in a given pair of doubleganger, thus placing the above-mentioned accompanying functions in a subordinate position.

One reasonable answer to this question is that the six accompanying functions are general concepts comprising each a variety of associated antithetical characteristics as the more particular or more specific expression of such a concept. For example, love-hate is a more specific case of the general concepts of fondness-fear and attraction-aggression, while lordship and bondage, bossiness and servility are particular varieties of dominance-submissiveness, and so on. However, this leaves out a great number of possible opposites which cannot be classified in this way.

It is more important to recognize that while conceivably all opposite concepts in one way or another modify the character of doubleganger, there are only six basic antithetical forces which affect their existence. In other words, the accompanying functions in the process of double existence are primarily existential conditions and only secondarily characteristics or traits. Thus, generosity-greed, chastity-licentiousness, idealism-opportunism, are typical, or less typical character traits in doubleganger, but very much unlike autosite-parasite, dominance-submissiveness, fondness-fear, they have no universal existential significance. And thus pride and humility may be the leading theme in legends and tales of a proud king and his humiliation, but the battle of doubleganger is fought on existential grounds when the parasite double takes over.

Similarity-dissimilarity, recognition-non-recognition, autosite-parasite, dominance-submissiveness, fondness-fear (love-loathing)



and attraction-flight (attraction-aggression) are existential qualifications of a given doubleganger pair. Unlike other possible opposites in the existence of an antagonistic pair they are essential and vital in maintaining the status quo, or, when upset in their harmonious dialectic, in inducing dissolution or annihilation of doubleganger.





## FOOTNOTES

<sup>1</sup>Spiegelzauber, pp. 122-3.

<sup>2</sup>Pausanias's Description of Greece, trans. J.G. Frazer, London, 1913, Vol. I, p. 483.

<sup>3</sup>Alfred Döblin, Hamlet oder die lange Nacht nimmt ein Ende, Berlin, 1961, pp. 90-91.

<sup>4</sup>Metamorphoses III, 477-9.

<sup>5</sup>Metamorphoses III, 487-90.

<sup>6</sup>A more detailed discussion of this problem will follow in Chapter V, which deals with doubleganger conflicts.

<sup>7</sup>Döblin, Hamlet, p. 91.

<sup>8</sup>Metamorphoses III, 463-4.

<sup>9</sup>Heinrich von Kleists Werke, ed. Georg Minde-Pouet, 2nd ed., Leipzig, 1936, Vol. III, Amphitryon, p. 8.

<sup>10</sup>James Shields, Monozygotic Twins brought up apart and brought up together, London, 1962, p. 242.

<sup>11</sup>ibid., p. 166.

<sup>12</sup>Marcel Aymé, La belle image, Paris, 1941, p. 14.

<sup>13</sup>Oscar Wilde, The Picture of Dorian Gray, Harmondsworth, 1961, p. 244.

<sup>14</sup>Gustav Schwab, Die schönsten Sagen des klassischen Altertums, Wien, 1951, p. 179.

<sup>15</sup>Bernard Malamud, A New Life, New York, 1961, p. 310.



- <sup>16</sup>Edith L. Potter, Pathology of the Fetus and Infant, Chicago, 1961, pp. 220-3.
- <sup>17</sup>*ibid.*, p. 216.
- <sup>18</sup>*ibid.*, p. 230.
- <sup>19</sup>C.J.S. Thompson, The Mystery and Lore of Monsters, London, 1930, p. 73. There is no reference for James Paris' alleged account.
- <sup>20</sup>Potter, Pathology, p. 230.
- <sup>21</sup>Guy de Maupassant, Le Horla, Oeuvres complètes, Paris, 1927, Vol. IX, p. 28
- <sup>22</sup>Le Horla, p. 14.
- <sup>23</sup>R.D. Laing, The Divided Self, Harmondsworth, 1970, pp. 158-9.
- <sup>24</sup>Thompson, Monsters, pp. 73-4.
- <sup>25</sup>E.T.A. Hoffmann, Poetische Werke, ed. Klaus Kanzog, 12 vols., Berlin, 1957-; Vol. II, Die Elixiere des Teufels, pp. 299-300.
- <sup>26</sup>Hermann Varnhagen, Ein indisches Märchen auf seiner Wanderung durch die asiatischen und europäischen Litteraturen, Berlin, 1882.  
In Europe, the first literary evidence that the personality of the usurper is an angel is the Latin version of Gesta Romanorum in which the victim is the fictional emperor Jovinianus. Varnhagen, however, proposes a common Occidental source which is much older than the version of Gesta and in which the appearance of an angel who usurps the throne is a prominent characteristic (pp. 23-24). Incidentally, according to Gesta Romanorum, it is the emperor's father confessor who takes him to be the devil when Jovinianus comes to him for help: ". . . cum eum vidisset, cum impetu fenestram clausit et ait: 'Discede a me, maledicte! Tu non es imperator, sed diabolus in forma hominis.'" (p. 110). Compare also the Jerusalem Talmud version in which an angel usurps Salomo's throne on God's command (Varnhagen p. 16).





<sup>27</sup>p. 23.

<sup>28</sup>Varnhagen, p. 107.

<sup>29</sup>Monozygotic Twins, p. 87.

<sup>30</sup>Kurt Ranke, "Die zwei Brüder," in: FF Communications XLIV, Helsinki, 1934, pp. 5-390.

<sup>31</sup>ibid., p. 160.

<sup>32</sup>ibid., p. 162.

<sup>33</sup>Die Märchen der Brüder Grimm, ed. Wilhelm Grimm, Leipzig, 1924, Vol. I, p. 275.

<sup>34</sup>Monozygotic Twins, pp. 89 and 156.

<sup>35</sup>ibid., p. 156.

<sup>36</sup>to be discussed in detail in Chapters IV and V, respectively.

<sup>37</sup>William Wilson, pp. 421-3.

<sup>38</sup>Monozygotic Twins, p. 183.

<sup>39</sup>p. 166.

<sup>40</sup>p. 242.

<sup>41</sup>The Divided Self, pp. 58-9.

<sup>42</sup>ibid., pp. 72-3.

<sup>43</sup>"Der Frieder und das Katherlieschen," Die Märchen der Brüder Grimm, Vol. I, p. 269.

<sup>44</sup>ibid., pp. 269-70.

<sup>45</sup>Varnhagen, pp. 42-4.

<sup>46</sup>I was not able to verify Varnhagen's reference to Goedeke, Grundriß, Vol. I, pp. 375-6, which he gives on p. 119. In the



<sup>46</sup>(continued) second edition of Grundriß zur Geschichte der deutschen Dichtung, Dresden, 1886, Valentin Schumann's Nachtbüchlein is discussed in Vol. II, pp. 469-70. Henceforth, references to Nachtbüchlein are made on the basis of the following text: Valentin Schumanns Nachtbüchlein, ed. Johannes Bolte, Tübingen, 1893.

<sup>47</sup>Nachtbüchlein, p. 284.

<sup>48</sup>*ibid.*

<sup>49</sup>*ibid.*

<sup>50</sup>The angel says: "Carissimi, audite me! Iste homo est imperator vester et dominus. Nam aliquo tempore contra deum se erexit; propter quod peccatum deus eum flagellavit et hominis notitia ab eo recessit, quousque satisfactionem deo fecit. Ego sum angelus ejus, custos animae suae, qui imperium custodivi, quamdiu fuit in poenitentia. Iam ejus poenitentia est completa et pro peccatis satisfecit. Ammodo ei sitis obedientes! Ad deum vos recommendo."

<sup>51</sup>E.T.A. Hoffmann, Poetische Werke, Vol. X, pp. 9-140. Non-recognition, i.e. lack of self-recognition, is tantamount to double existence of that self in this tale. It is not until Giglio and Giacinta as Prince Cornelio and Princess Brambilla become conscious of their true existence that their double existences begin to fade. The crucial scene is a confrontation of the doubles with the mirror: "Es begab sich aber, daß das Liebespaar, nämlich der Prinz Cornelio Chiapperi und die Prinzessin Brambilla, aus der Betäubung erwachten, in die sie versunken, und unwillkürlich in den klaren spiegelhellen See schauten, an dessen Ufer sie sich befanden. Doch wie sie sich in dem See erblickten, da erkannten sie sich erst, schauten einander an, brachen in ein Lachen aus . . . und fielen dann im höchsten Entzücken einander in die Arme" (p. 134).

<sup>52</sup>Döblin, Hamlet, p. 90.





## CHAPTER IV

### MEDIA OF APPEARANCE: JOINT PROPERTIES OF DOUBLEGANGER

An attempt was made in the chapters on reflection and projection to leave aside the factor of movement in the existence of double-ganger. Hero and double were observed in certain states of their mutual existence; questions of progress or continuity were disregarded. Accordingly, the so-called properties and qualities were described as momentary aspects of medium or double. It was shown that these aspects may attain either attributive or intrinsic value. In a given case of reflection the property "shadow" may acquire various degrees of functional significance. Its presence may be merely of superficial nature and in such case only a verbal presence (e.g. "Sosias: So dulde mich als deinen Schatten mind'-stens, /Der hintern Stuhl entlang fällt, wo du ißt").<sup>1</sup> It may describe some external feature of medium or double (e.g. "Reinhart lachete darin / do zannete der scate sin").<sup>2</sup> It might signify one important characteristic of either one of the pair (e.g. "But all I could see was this shadow, wearing my clothes . . ." and, "I stared at him, or rather not at him but at his shadow . . ." or, "I was the substance now and he the shadow. The shadow was not wanted and could die").<sup>3</sup> It could also constitute the hero's or double's state of mind (e.g. "All I knew was that Jean de Gué and I had different blood, that we were dissimilar in the only thing that mattered now . . . . Height, breadth, colouring, features, voice, we had everything in common but that. The discovery seemed



to me symbolic of all that had gone wrong. He was the human reality, I the shadow. I could not replace the living man . . . ." And, "I stared at him, or rather not at him but at his shadow. When I had thought of him, during the past week, it had been as a phantom, someone who existed no longer, a shadow, a wraith. And had I given the wraith substance I should have placed him perhaps in Paris . . .").<sup>4</sup> And it could be the responsible attribute of the setting or atmosphere (e.g. "The exchange of clothes in the darkness was macabre, even terrible. It meant, with every garment shed, a loss of the self I had found . . . ." And, "I walked on, through darkness, undergrowth, and moss, and now I had no present and no past, the self who stumbled had no heart or mind").<sup>5</sup> Lastly, in a more complex situation, it will represent several or all of these things together (e.g. ". . . it seemed to me that what was happening was fated, inevitable, that I should never be rid of him or he of me: he would follow me downstairs and come with me in the car, and I should never shake him off. He was my shadow or I was his, and we were bound to each other through eternity . . . . This wretched room . . . was like a tomb shutting out the world: we were here together and there was no escape . . . . And then he said, his voice unsteady as my own--or was it I who spoke and he who listened?--'Shall I put on your clothes and you wear mine?'" )<sup>6</sup>

In the latter case the shadow becomes an "embodiment" of the hero's Other One, while it dominates the setting in terms of darkness, light, twilight, gloom, shadowy atmosphere, sleep, dream, or lack of substance.

Similarly, each of the properties of the wirkungskreis, namely, reflection, mirror, image, hallucination, live twin, follows this





principle. It can be said that these properties are material or palpable aspects in a given doubleganger scene. To the degree to which they attribute, alone or together with others, to the appearance of hero and double and the immediate environment, they determine the external, and functional, complexity of doubleganger existence.

It is thus clear that, where reflection is the dominating factor in a state of double existence, the prevailing features of the double will be those comprising the corresponding wirkungskreis, while the prevailing characteristics of the setting will be modified particulars of this complex. In other words, the double would "properly" appear in this case as a personification of reflection, shadow, mirror, image, hallucination, live twin, or a combination thereof, and the atmosphere would reflect darkness, night, twilight, gloom, sleep, dream, lack of substance or associated moods.<sup>7</sup>

In cases where the predominant factor of double existence is projection, the situation becomes somewhat more complicated. Here too, we have aspects which may attain either attributive or intrinsic value, but the pattern of these aspects forming the wirkungskreis is more elaborate because they are "Qualities," not "Quantities" by nature. To be sure, as in reflection, the representation of the six types of the corresponding wirkungskreis may vary in combination and degree of significance. The soul, the spirit, the scapegoat, the tempter, the conscience, and the unhappy consciousness may indicate, or signify, any possible aspect of medium or double in projection, from verbal representation to personified





characteristic. The double may thus become the embodiment of each one of these types or a combination thereof, and the associated setting will be staged in terms of madness-insanity-folly as the resulting environmental factors of the combination, or wirkungskreis.

But with this the outward appearance of the double is not yet fully determined. In reflection, where the six types are the combination of reflection, shadow, image, mirror, hallucination, live twin is sufficient to describe universally the external features of the double of any possible scene. The types involved in projection are, however, of qualitative nature and therefore do not immediately indicate the double's external status. There must be, in addition, a combination of external attributes which will account for, not only the habitude, but also the habitus, of the double. As a matter of course, these accompanying aspects derive from the six types of the wirkungskreis. As they describe, by way of attire and habit, the bearing of the double, they are in some way palpable, and therefore measurable, expressions of the double's qualities. The idiot, the dupe, the clown, the fool, the buffoon (cuckold), the Hanswurst, the Spaßmacher, the monkey, the ape, the devil are most frequently met with in this connection. Relative to the complexity of the situation, these factors appear individually or in combined form.

It has been said that, when the state of double existence is set in motion, all momentary aspects become working momenta in the process. This was already illustrated to some extent in the previous chapter where the accompanying functions of double existence were shown to be tendencies rather than aspects. In this new





perspective of double existence again six general types were established. Two sets of modified particulars were derived from the wirkungskreis of these six general types. They accounted for attributes of doubleganger in this context which were either qualities or external features. They were, respectively, the combination of vampire-intruder-usurper, and the features of dwarf, mock-up, animal monster, hunchback, freak, and dummy. As modified particulars of similarity-dissimilarity, autosite-parasite, recognition-non-recognition, dominance-submissiveness, fondness-fear, attraction-flight, these attributes presented an immediate link with double existence in the context of projection and reflection. Thus, the qualitative particulars of vampire, intruder, usurper interact with the wirkungskreis of qualities of the double, modifying the appearance of soul, spirit, tempter, conscience, scapegoat, and unhappy consciousness. The dwarf, the mock-up, the animal monster, the hunchback, the freak, and the dummy correlate with both the outward appearance of the double in projection (i.e., idiot, dupe, clown, fool, etcetera) and with the properties of the double in reflection (mirror, shadow, image, etcetera).

The total factors, aspects, and functions must be seen in a different light when the process of double existence is well under way. For, as each particular so far accounted for becomes a working momentum in doubleganger life, it can no longer be attributed to hero or double, or to the respective medium in the way in which one would determine a fixed trait or characteristic. All aspects, attributes and functions contained in, or connected with, the three foregoing wirkungskreise have now become joint properties of doubleganger and their media of appearance.





The concepts themselves will therefore acquire dynamic significance. Any particular trait of double existence which in the contexts of reflection and projection was regarded as an aspect or quantum, constitutes a working momentum in the process of doubleganger appearance. This change from quantum to momentum applies to the concepts of appearance to the same extent. The concept of property, for example, was limited to signifying a certain quantum of traits or characteristics in reflection. Accordingly, the meaning of the word "properties" was limited to the extent of those connotations. In the process of doubleganger appearance, where properties are working momenta, the concept acquires universal significance. Properties are, under these conditions, a) things owned, i.e. possessions; b) requisites or "props;" c) attributes and traits, and tendencies forthcoming from these. It is important to note that these possessions, requisites and tendencies are joint possessions of hero and double and hence joint properties of medium and doubleganger.

"The Carew Murder Case" from Dr. Jekyll and Mr. Hyde is an example to the point.<sup>8</sup> For reasons to be discussed later on, let us assume that we have not read the key-chapters of that novel to learn the "full statement of the case." Given this premise, we do not know that Jekyll and Hyde are doubleganger. If, in reading the above mentioned chapter, we do not recognize them to be doubleganger, then this must be because they are totally dissimilar. Non-recognition and dissimilarity are fractional halves of the accompanying functions in the process of double existence. To establish an equal share of recognition and similarity in the above contexts, certain cues will have to be found. These cues must represent jointpos-





sessions, joint requisites and, if possible, joint tendencies of hero and double. As joint properties of doubleganger they bring about perspectives of similarity to counterbalance the dissimilarity of the appearance of the pair. Recognition of this fact will then equalize the initial non-recognition of the identity of Jekyll and Hyde.

In "The Carew Murder Case," the instrument "stick" or "cane" and the action "clubbed him to the earth" provide for us some relevant properties. Severed from its immediate context, the following sequence of words leaves no doubt that at least one part of the stick is a property of Dr. Jekyll. "Mr. Utterson had already quailed at the name of Hyde; but when the stick was laid before him, he could doubt no longer: broken and battered as it was, he recognised it for one that he himself presented many years before to Henry Jekyll."<sup>9</sup>

The property "stick" here marks "possession" as well as "requisites." In its capacity of circumstantial evidence it clearly identifies Jekyll as a partial perpetrator. Since "Mr. Utterson had already quailed at the name of Hyde," it is only logical that "The other half of the stick was found behind the door" of Mr. Hyde's living room.<sup>10</sup> "Stick" is now a joint property of Jekyll and Hyde, but is at the same time divided in halves. And it is only in this particular divided state that this joint property is referred to as "stick" in the above context. "The stick with which the deed had been done, although it was of some rare and very tough and heavy wood, had broken in the middle under the stress of this insensate cruelty; and one splintered half rolled in the neighbouring gutter--the other, without doubt, had been carried





away by the murderer."<sup>11</sup> The joint appearance of the two halves of "stick" in one piece is referred to as "cane." A maid-servant, an eye-witness to the deed, recognized "a certain Mr. Hyde:" "He had in his hand a heavy cane, with which he was trifling . . . And then all of a sudden he broke out in a great flame of anger, stamping with his foot, brandishing the cane, and carrying on (as the maid described it) like a madman. The old gentleman took a step back . . . and at that Mr. Hyde broke out of all bounds, and clubbed him to the earth."<sup>12</sup>

The identification of the instrument "stick" or "cane" with the perpetration of the deed has thus been made in two distinct descriptions. One shows the "cane" as a whole piece, the other has one "splintered half" of the "stick" appear on the scene, while the other half is assumed to have been carried away by the perpetrator. The "splintered half" remaining on the scene, though "broken and battered," is in turn identified as a possession of Jekyll. It is indicative that, while the instrument "cane" with which the deed is done is in possession of Mr. Hyde, the evidence "stick" remaining on the place of action is described as a property of Henry Jekyll. By coming apart, with one half remaining on the scene, while the other is taken in hiding, the cane as a whole and the deed identified with it becomes a joint property of Jekyll and Hyde. The joint possession of the same property brings about a certain degree of similarity in the present pair. The dialectic function of similarity-dissimilarity attains its full significance. The comparison of Jekyll's and Hyde's handwriting from the following chapter of the book may suffice as an additional illustration. Mr. Guest points out, as it were, the dissimilar





identity in both. ". . . there's a rather singular resemblance; the two hands are in many points identical, only differently sloped."<sup>13</sup>

In the Circe chapter of Ulysses Stephen's ashplant plays a rôle similar to that of the cane in Dr. Jekyll and Mr. Hyde. But as the appearance of Stephen and Bloom happens nebeneinander, the ashplant need not be broken in two; thing and gesture (i.e. ashplant and blow) are equally and identically attributed to Stephen and Bloom, possession and action happen nacheinander.

STEPHEN

Nothing!

(He lifts his ashplant high with both hands and smashes the chandelier. Time's livid final flame leaps and, in the following darkness, ruin of all space, shattered glass and toppling masonry.)

THE GASJET

Rufungg!

BLOOM

Stop!

LYNCH

(Rushes forward and seizes Stephen's hand.)

Here! Hold on! Don't run amok!

BELLA

Police!

(Stephen abandoning his ashplant, his head and arms thrown back stark, beats the ground and flees from the room past the whores at the door.)



BELLA

(Screams.) After him!

(The two whores rush to the halldoors. Lynch and Kitty and Zoe stampede from the room. They talk excitedly. Bloom follows, returns.)

THE WHORES

(Jammed in the doorway, pointing.) Down there.

ZOE

(Pointing.) There. There's something up.

BELLA

Who pays for the lamp? (She seizes Bloom's coattail.)  
There. You were with him. The lamp's broken.

BLOOM

(Rushes to the hall, rushes back.) What lamp, woman?

A WHORE

He tore his coat.

BELLA

(Her eyes hard with anger and cupidity, points.) Who's to pay for that? Ten shillings. You're a witness.

BLOOM

(Snatches up Stephen's ashplant.) Me? Ten shillings?  
Haven't you lifted enough off him? Didn't he . . . !

BELLA

(Loudly.) Here, none of your talk. This isn't a brothel.  
A ten shilling house.





BLOOM

(his hand under the lamp, pulls the chain. Pulling, the gasjet lights up a crushed mauve purple shade. He raises the ashplant.) Only the chimney is broken. Here is all he . . .

BELLA

(Shrinks back and screams.) Jesus! Don't!

BLOOM

(Warding off a blow.) To show you how he hit the paper. There's not a sixpenceworth of damage done. Ten shillings!<sup>14</sup>

The phenomenological significance of the ashplant and the tendencies immediately associated with it in this context is in every way similar to that of the cane or stick in the previous example. Instead of saying that it is jointly owned by Stephen and Bloom, we may state, more appropriately, that it is half in Stephen's and half in Bloom's possession. As a requisite for the particular action, it is "abandoned" by Stephen and "snatched up" by Bloom. The commencement of the action itself, and the intent displayed at that moment are identical almost to the very words which describe them: "He lifts his ashplant high . . ." "He raises the ashplant." It must be noted that the circumstances under which this happens are identical: the object aimed at is the source of light; in both cases, "time's livid flame leaps." Moreover, in pulling the chain, Bloom cancels Stephen's action as well as the "darkness" and "ruin of all space" resulting from it, yet also re-establishes the deed by imitating it, so that the double blow with the ashplant attains a similarity to the point of "not sixpenceworth of damage."



The two examples show that the joint properties are possessions or requisites somehow shared "in half," and that the tendencies forthcoming from them, or actions associated with them, are either shared or doubled. Both examples demonstrate the function of joint properties qua material possessions. That the mutual possessions and requisites of doubleganger may consist of sterner or lighter stuff will be shown in detail later on. Let it suffice, at the moment, to mention the very significant property of the name and the voice, as well as the fact that all aspects summed up in the three foregoing wirkungskreise will come into play as joint properties in more complex doubleganger events.

This "half" as a pronounced property of each one of two inter-related personalities can be frequently found in adequate literary units. Discussions alluding to a certain secret meeting in Dostoevski's Бесы may elucidate the case.<sup>15</sup> The pair in question, Stavrogin and Pyotr Stepanovich, are referred to by those names whenever confronted with each other. This particular representation of the two personalities throughout the book, namely, Stavrogin's по фамилии<sup>16</sup> and Pyotr Stepanovich's по имени и по отчеству<sup>17</sup> immediately demonstrates the nominal appearance of the two as potential halves of each other. Significantly enough, in his effort to persuade Stavrogin to participate in the secrecies, Pyotr Stepanovich himself pronounces them to be each other's halves. He addresses Stavrogin literally as "you, the principal half of mine."

Ставрогин странно усмехнулся.

--Если бы вы не такой шут, я бы, может, и сказал теперь: да . . . . Если бы только хоть каплю умнее . . . .

--Я-то шут, но не хочу, чтобы вы, главная половина





моя, были шутом! Понимаете вы меня?

Ставрогин понимал, один только он, может быть.<sup>18</sup>

On the other hand Pyotr Stepanovich, when discussing the secret plot with von Lembke, who is out to uncover it, tries to dismiss the case as insignificant since it involves only "three fellows and a half." The statement is repeated twice in the course of discussions.

Ну, да я вам не обязан отчетами в прежней жизни,-- махнул он рукой,--все это ничтожно, все это три с половиной человека . . .<sup>19</sup>

--Да кто управляет-то? три человека с полчеловеком.<sup>20</sup>

Von Lembke himself states in this connection that three of these lads are already known to him:

Нам уж трое известны: Шатов, Кириллов и тот подпоручик. Остальных я еще только разглядываю . . .  
впрочем, не совсем близорук . . .<sup>21</sup>

At the same time, however, he asserts that he will look the rest of them over. If one is to take these statements at their face value, then obviously полчеловек must be at least two people. The context makes it clear that both Pyotr Stepanovich and Stavrogin belong to the inner circle. This would mean that there are in fact five of them, contrary to Pyotr's suggestion that there are only three and a half. As three of the fellows are already identified as Shatov, Kirilov and "that second lieutenant," there remains only Pyotr to represent полчеловека, unless he excludes himself and has Stavrogin in mind. Whoever of the two may be that полчеловек, when both are going to the meeting Pyotr's "principal half" states that the inner circle will now consist of four:



Там куда мы идем, членов кружка всево четверо.<sup>22</sup>

Pyotr Stepanovich's and Stavrogin's names are, by virtue of their denomination of given name + father's name, and surname, respectively, complementary properties, or correlatives. They thus indicate the division of doubleganger in two halves and represent one evidence among many that Pyotr and Stavrogin share the same personality.

An alternative to this peculiar split of names in half would be the case in which these joint properties are shared in that they are doubled. Edgar Allan Poe's William Wilson is paradigmatic for this variety, all the more so, since William's antagonist and "secret sharer," whom he refers to as "Wilson," has both names in common with him. ". . . the ardor, the enthusiasm, and the imperiousness of my disposition, soon rendered me a marked character among my schoolmates, and . . . gave me ascendancy over all not greatly older than myself;--over all with a single exception. This exception was found in the person of a scholar, who, although no relation, bore the same christian and surname as myself;--a circumstance, in fact, little remarkable . . . ." <sup>23</sup>

It is quite remarkable, however, that William should feel "doubly disgusted" by his name's "twofold repetition," and that all attempts to frustrate further similarities only achieve the opposite effect.

. . . this latter trait in Wilson's conduct, conjoined with our identity of name, and the mere accident of our having entered the school upon the same day, which set afloat the notion that we were brothers . . . <sup>24</sup>





. . . Wilson was not, in the most remote degree, connected with my family. But assuredly if we had been brothers we must have been twins; for . . . I casually learned that my namesake was born on the nineteenth of January, 1813--and this is a somewhat remarkable coincidence; for the day is precisely that of my own nativity.<sup>25</sup>

There is a second alternative to the common possession of names, and that is the exchange of names between doubleganger. In this case the names are, as in the case of one name divided into two parts, dissimilar, so that the equilibrium of similarity-dissimilarity is being established by an exchange of these properties. Before we introduce the case of Leibgeber and Siebenkäs, which is paradigmatic for this variety, let us look briefly at a borderline case in which the phenomenological affinities of the three proposed varieties are quite apparent. The first "encounter" of Merkur and Sosias in Kleist's Amphitryon seems, at its outset, simple enough. Merkur and Sosias talk, and exist, für sich.<sup>26</sup> To be sure, Merkur is described as appearing in der Gestalt des Sosias, but other than that there are at first no indications of joint properties of the pair.<sup>27</sup> However, in the course of events, all the things Sosias has done, does, possesses and stands for, Merkur claims for himself. The argument culminates in the debate over the messenger-task. And here both are on common ground again, for both are, de jure, messengers sent to Alkmene. The property of the name Sosias as a last resource in their argument is therefore of more than nominal, or functional, significance. As matters stand, the logos Sosias is the symbol of one particular identity and existence. Deprived of it, its bearer will no longer exist für sich, but will become the empty shadow of his own sameness.





The exchange of names is not total and not complete. It is an act of usurpation on the part of Merkur who acquires, in this fashion, Sosias' "complete" identity. The text continues to denominate the two personalities as "Sosias" and "Merkur," but in the actual dialogue between the two this formal dissimilarity is counterbalanced. On the one hand, the "second" Sosias wishes to be the one Sosias in his entirety. But his attempts to achieve this absolute identity by acquiring the former's name remain quite futile. He has nothing to give in exchange for what he takes, and this is why he only succeeds in establishing a second identity of Sosias. Upon the first Sosias' demand to explain who he is if he is not Sosias, he finds no answer. He merely equivocates.

Sosias.

Nur habe die  
Gefälligkeit für mich, und sage mir,  
Da ich Sosias nicht bin, wer ich bin?  
Denn etwas, gibst du zu, muß ich doch sein.

Merkur.

Wenn ich Sosias nicht mehr werde sein,  
Sei du's, es ist mir recht, ich will'ge drein.  
Jedoch solange' ich's bin, wagst du den Hals,  
Wenn dir der unverschämte Einfall kommt.<sup>28</sup>

On the other hand, whenever the "first" Sosias even so much as alludes to compromising with him, Merkur accuses him of usurping his identity.

Sosias.

Wie? Was? Großmütiges und edles Ich,  
Faß' dich! Verschon' ein wenig den Sosias,  
Sosias! Wer wollte immer bitterlich  
Erpicht sein, auf sich selber loszuschlagen?





Merkur.

. . . .

Du nimmst, Nichtswürdiger, den Namen mir?  
Den Namen des Sosias mir?<sup>29</sup>

To the latter, admitting that there are now two of a kind would spell failure and loss of Sosias' total identity. He cannot, therefore, acknowledge the twinship solution. But neither can he annihilate "Sosias the first," because in so doing he would annihilate himself. In this way, Sosias waves aside Merkur's approach by offering half of his name with the paradoxical allusion to the Greek twins.

Sosias.

Ei, was! Behüt' mich Gott, mein wackres Selbst . . .  
Nimm ihn, zur Hälfte . . . .  
Und wär's der Name Kastor oder Pollux,  
Was teilt' ich gern nicht mit dir, Bruderherz?<sup>30</sup>

The appearance of doubleganger in this example shows that the three varieties of properties jointly owned, or shared in halves, or doubled and exchanged, are phenomenologically interlinked. The threefold interpretation of joint properties in doubleganger as explained earlier on in this chapter is fully developed. Both Merkur and Sosias claim joint ownership of many particulars, notably the possession of Charis, Sosias' wife, the vocation of a messenger to Alkmene, and the name Sosias. Their requisites are identical especially in attire and in physical appearance. Their attributes and traits, and tendencies of action forthcoming from these become joint characteristics whenever Merkur tries to attain the full integrity of a Sosias.<sup>31</sup> The case of Merkur and Sosias has all the



hallmarks of a complex double existence. The wirkungskreise of reflection and projection adequately represent the appearance of the pair with particular types. Sosias wants to be the "shadow" and "twin" of Merkur-Sosias:

Besinne dich. Wir sind zwei Zwillingsbrüder.

Du bist der ältere, ich bescheide mich . . . .

So dulde mich als deinen Schatten mind'stens;<sup>32</sup>

Merkur enters with the qualities of the spirit and tempter. Sosias comments

Wer, Teufel hat den Kerl mir dort geboren?

. . . .

Hätt' ihn die Hölle ausgeworfen,

es könnte' entgeisternder mir nicht sein Anblick sein . . . .<sup>33</sup>

The beginning of their first conversation is marked by the typical problems which accompany a split consciousness.

Merkur.

Halt dort! Wer geht dort?

Sosias.

Ich.

Merkur.

Was für ein Ich?

Sosias.

Meins, mit Verlaub. Und meines, denk' ich, geht  
Hier unverzollt gleich ändern. Mut, Sosias!<sup>34</sup>





Sosias himself, on the other hand, becomes the constant scapegoat of his own shortcomings. He is Merkur-Sosias' Sündenbock and Prügelknabe, as in every confrontation between the two the second Sosias not only threatens with the cane but actually applies it. Conversely, it is Sosias who applies to Merkur certain accompanying aspects deriving from the quality type of projection (i.e. spirit, tempter, unhappy consciousness, scapegoat). While Sosias himself represents the variety of dupe-clown-fool-buffoon-cuckold, he lets Merkur have the appropriate share of "complements." The devil is also Hanswurst, Eisenfresser, and Kauz who is in no better situation than he himself:

--Jedoch vielleicht geht's dem Hanswurst wie mir,  
 Und er versucht den Eisenfresser bloß,  
 Um mich ins Bockshorn schüchternd einzujagen.  
 Halt, Kauz, das kann ich auch . . . .<sup>35</sup>

The wirkungskreis of accompanying functions of double existence is also fully developed in this case. The dominating type is, at the outset, recognition-non-recognition. A score of interpretations is possible with respect to the distribution of recognition and non-recognition of the self and the Other One in Sosias' and Merkur's initial für sich soliloquies. The principal point is that Sosias neither recognizes Merkur for what he "actually" is nor for what he purports to be. In the following dialogue, Merkur, who claims to be (and appears to be) Sosias, does not recognize Sosias either. In his case it is quite clear that this manifest non-recognition implies a latent recognition. We do not have to conjecture that Merkur knows who Sosias is, or who is Sosias. Sosias' recognition of Sosias in the Other One is at first present merely in the ambiguity of his statements:



Merkur.

Bist du Sosias noch?

Sosias.

Ach laß mich gehn.

Dein Stock kann machen, daß ich nicht mehr bin;  
Doch nicht, daß ich nicht Ich bin, weil ich bin.<sup>36</sup>

Later on, however, he identifies the Other One by actual Sosias-traits, and still later, if only reluctantly, as his better half, alter ego, twin brother, and the like. The argument about the rightful ownership of the name Sosias immediately involves all other accompanying functions of double existence; dominance-submissiveness, similarity-dissimilarity, fondness-fear, attraction-flight, and most important in this case, the autosite-parasite relationship. The latter clearly demonstrates that along with the exchange of names there takes place an exchange of rôles as well. For Merkur, who invades the identity of Sosias as an usurper and intruder, assumes the rôle of the imperious master who attempts in vain to shake off the troublesome parasite. Very indicative in this instance is the kitchen scene of act III, where the argument is food.

Sosias.

Besinne dich. Wir sind zwei Zwillingenbrüder  
Du bist der ältre, ich bescheide mich.  
Du wirst in jedem Stück voran mir gehen.  
Den ersten nimmt du, und die ungeraden,  
Den zweiten Löffel, und die graden, ich.

Merkur.

Nichts. Meine volle Portion gebrauch' ich,  
und was mir übrig bleibt, das heb' ich auf . . . .





Sosias.

So dulde mich als deinen Schatten mind'stens,  
der hintern Stuhl entlang fällt, wo du ißt.

Merkur.

Auch nicht als meine Spur im Sande! Fort!<sup>37</sup>

This is certainly a striking example for a submissive hero turning parasite on his dominant double who, having been the parasite to begin with, enjoys now the fruits of his usurpation.

The case of Sosias and Merkur has made it clear that the distribution of the names of doubleganger is directly proportional to the principle of functions and factors of their appearance and interexistence. This is to say, joint properties other than those which are already determined as such by representing types and functions of the wirkungskreise, are unique indicators not only of the presence of doubleganger, but also of the pattern of their appearance.

With the example of the name as one such typical joint property it was shown in what manner these properties may be shared. Firstly, the name may appear divided in halves. In what fashion is not essential. In our example from Dostoevski's Бесы the names of Stavrogin and Pyotr Ivanovich represented the halves of common denominators of a full name, i.e. family name, and given name plus father's name, respectively. Secondly, the names may correlate in that they are doubled. This was shown to be the case in William Wilson. And, thirdly, the names may be shared in half and doubled in that they are exchanged. In this instance, the pair of Merkur and Sosias presented a borderline case, because the





names were not really exchanged and yet an exchange took place somehow. Merkur exchanges the name Merkur for that of Sosias, but Sosias obtains no name in return. This would fulfill partly our third point, or second alternative. Sosias, however, admits to the existence of two Sosias (second point) as well as to sharing his name in half (first point).

In Jean Paul's Siebenkäs the exchange of names between hero and double is complete. The event is reported by the narrator as something that happened before his actual tale begins. When Leibgeber and Siebenkäs appear in the story, they do so under their new names and the effect is quite startling.

Da es schon mehrere Jahre her ist, daß mein Held durch den befreundeten Namendieb um seinen ehrlichen Namen gekommen und dafür den andern ehrlichen eingewechselt: so kann ichs nicht anders machen in meinen Kapiteln, ich muß ihn als Firmian Stanislaus Siebenkäs in meiner Liste fortführen, wie ich ihn bei der Schwelle vorstellte--und den andern als Leibgeber--, ob mir gleich kein Kunstrichter zu sagen braucht, daß der mehr komische Name Siebenkäs besser für den mehr humoristischen Ankömmling passe, den einmal die Welt noch genauer kennen lernen soll als mich selber.--<sup>38</sup>

It is perhaps best in this case to consider the author's account of their joint properties resulting from sameness of traits or exchange of denominators, in terms of similarity-dissimilarity.

It is indeed indicative that they have chosen the exchange of their names as a meaningful and satisfactory alternative of their original intent which was to assume identical names. The passage makes it clear that the idea of the exchange was to reinforce the identity of Leibgeber and Siebenkäs. ". . . [sie] wollten . . . ihre





algebraische Gleichung noch weiter fortsetzen--sie wollten nämlich einerlei Vor-und Zunamen führen. Aber sie geriethen darüber in einen schmeichelnden Hader: jeder wollte der Namensvetter des andern werden, bis sie den Hader endlich dadurch schlichteten, daß beide die eingetauschten Namen behielten und also die Otaheiter nachahmten, bei denen Liebende auch die Namen mit den Herzen wechseln."<sup>39</sup>

Siebenkäs' split in two is mentioned before we meet Leibgeber. Significantly enough, however, the allusion is made in order to introduce the latter. The split is identified as a split in Körper and Seele, and the embodiment of these properties is Leibgeber. The scene takes place in church on Siebenkäs' wedding day. The reader's attention is drawn to the choir-loft. "Droben guckt nämlich herunter--und wir sehen alle in der Kirche hinauf--Siebenkäsens Geist, wie der Pöbel sagt, d.h. sein Körper, wie er sagen sollte. Wenn der Bräutigam hinauf schauet: so kann er erblassen und denken, er sehe sich selber.--Die Welt irrt; roth wurd' er blos. Sein Freund Leibgeber stand droben . . ."<sup>40</sup>

An enumeration of similarities between the two which follows here is concluded with the statement that "die ersten Ähnlichkeiten . . . sie zu einer in zwei Körper eingepfarrten Seele machten." Their intellectual interests, although identical, are discounted by the narrator as arguments in favor of similarity, "da oft die Gleichheit der Studien ein auflösendes Zersetzmittel der Freundschaft wird." The statement is interesting, however, because the context uses very physical images to describe this Gleichheit, and the allusion to their twinship is quite obvious. ". . . sie [waren]





Milchbrüder im Studieren und [hatten] einerlei Wissenschaften bis auf die Rechtsgelahrtheit zu Ammen . . . ."41

The most important, and most elaborate, account of their similarity is that of their physical likeness. Characteristically, the imagery employed to convey this likeness is taken from the domain of attire. Their bodies are garments with which their souls are clad. ". . . so trugen ihre Seelen ganz den polnischen Rock und Morgenanzug des Lebens, ich meine zwei Körper von einerlei Aufschlägen, Farben, Knopflöchern, Besatz und Zuschnitt: beide hatten denselben Blitz der Augen, dasselbe erdfarbige Gesicht, dieselbe Länge, Magerkeit und alles . . . ."42

The exchange of names, then, is the execution of the "algebraic equation" alluded to above. One soul, eingepfarrt in two bodies, equals, as it were, two souls clad in one identical outfit. Soul and brotherhood (twins), as typical representatives of media of reflection and projection, are joint properties of hero and double. The appearance of doubleganger is here accompanied by the dialectic function of similarity-dissimilarity which in itself is a joint property of the pair. The equation reads: Leibgeber and Siebenkäs are similar in that they are dissimilar.

It would appear, then, that the exchange of names does something to intensify the impression that a pair of literary figures or personalities is in fact a doubleganger pair. Evidently the exchange of properties of any kind between prospective heroes and doubles not only makes these properties joint properties but also emphasizes all other joint properties already qualifying the pair. From this one may conclude that the phenomenon of the exchange as such is





perhaps the responsible medium of appearance of doubleganger.

Namентаusch, as we shall call the exchange of names from now on, is then obviously only one particular expression of exchange. To be sure, names may, as was observed earlier on, symbolize or stand for an entirety, but this is not always the case. Kleidertausch, the exchange of garments and of attire, would be another such particular. In effect, the exchange of any property, insignificant though the object or the exchange may seem, would fall in this class. The exchange may involve merely a cane (Stephen's ashplant) or an entire rôle (Sosias' messenger-task); but its phenomenological significance must be sought in the exchange itself, not in its magnitude.

The universal expression of these varieties of exchanges must therefore comprise all possible particulars. A total exchange of properties between the pair will, under these circumstances, amount to gestaltentausch. But up to this point our point of departure has always been a twoness of personality. This twoness possessed certain joint properties which were confirmed, intensified or modified by the exchange. A universal description of the phenomenon of exchange must, however, also include the change of oneness into twoness. Our point of departure in this case would have to be the existence of one person, and the event of splitting in two, or the process of his transformation would somehow precede the possession of joint properties.

Thus, gestaltentausch and transformation are correlatives which explain the appearance of doubleganger through universal exchange and universal change, respectively. In combined form, both ultimately represent the medium of appearance of doubleganger: meta-





morphosis. Metamorphosis is the force which initiates oneness of two personalities, and twoness of one personality, in literary reality. Metamorphosis is itself "Celui qui modifie," as it manipulates an appearance of hero and double.

In its capacity as a medium of such appearance, metamorphosis possesses two vital complements together with which it forms the wirkungskreis of media of doubleganger appearance. These complementary media are solitude and fraternal pair. Any involvement of at least two of these three factors in a literary context, no matter how brief the scene may be, will point to the phenomenon of doubleganger. Most of the examples given in our discussion on reflection and projection involved solitude, in some cases as a stage or setting, in others as the constitution or state of mind of the hero. The biblical-mythical parallels and predecessors of the Narcissus variety are examples to the point. We mentioned, earlier on, the Adam of the Gnosis who beholds himself in the mirror, and falls in love with his image. We add here, for further demonstration, two similar cases, that of the Anthropos of the Hermetics and the Camtshadalian myth of the creator himself. According to the Hermetics "Anthropos" descends to nature, sees in the waters of the world his image and falls violently in love with "him."<sup>43</sup> In the Camtshadalian myth the Raven, creator of the world, sees his own image in the water "and falls in love with the same."<sup>44</sup>

It is evident at first glance that these motifs involve solitude of a different caliber than that commonly present in the Narcissus varieties. These creatures are not only "alone" in the sense in which Narcissus is alone when making love to his image; they are





also the sole representatives of their species in each case.<sup>45</sup> Of course this sort of absolute solitude is rarely observed in literary reality. Nevertheless, the degree of solitude modifying the hero's state of affairs may well be regarded as a pertinent factor in view of a potential split in two. Confinement and seclusion as a setting, the attributes of a renegade or outcast or loner, are phenomenological prerequisites of a potential double existence. To coin a phrase, the Einzelgänger has always a double-ganger problem. This is particularly true for certain Einzelgänger types of heroes in Western fiction, such as Golyadkin, Dorian Gray, Adrian Leverkühn, S. Levin, Herzog, Benny Profane, to name only a few.

Furthermore, solitude is not only the anthropological and sociological, but also the psychological and philosophical point of departure for the doubleganger event. In reality, the condition of solitude, or the statement "I am alone," show no immediate results of doubleness, unless the circumstances involve pathological implications. In literary reality, such statements as je suis seul automatically imply that je suis en deux. "L'homme à la fois esprit et matière, est double; mais en tant qu'esprit, il est un: L'unité du moi est un axiome qui, dans l'application à l'état social, est une fiction nécessaire . . . mais si cet axiome: le moi est un n'est pas gravement ébranlé par un petit nombre de traits bien observés, il est atteint en tant qu'affirmation certaine, et si l'exception est très rare, elle est possible; or, si elle est possible, on doit compter avec elle."<sup>46</sup>

Solitude as a setting or atmosphere, and singleness or oneness of personality within such a setting always provokes the appearance





of an Other One in literary reality. The case history of Félida is all the more typical because the Other One's appearance is brought about by an altération de la personnalité. Solitude is immediately linked with metamorphosis. "Félida est autre, voilà tout: je dirai même que dans ce deuxième état, dans cette condition seconde toutes ses facultés paraissent plus développées et plus complètes."<sup>47</sup>

Solitude postulates the psychological alter ego with whom the "sole self" conducts his monólogos dialogados, or diálogos solitarios. Conversely, the hero or self whose state of mind is on the way to doubleness will always seek "solitude, solitude. Blessed solitude."<sup>48</sup>

. . . lo que yo necesito es soledad, soledad! ¡Santa soledad!' Y volvía. Volvía por no poder sufrir la soledad. Pues en la soledad, jamás lograba estar solo, sino que siempre allí el otro. ¡El otro! Llegó a sorprenderse en diálogo con él, tramando lo que el otro le decía. Y el otro, en estos diálogos solitarios, en estos monólogos dialogados, le decía cosas indiferentes o gratas, no le mostraba ningún rencor. '¿Por qué no me odia?, ¡Dios mío!--llegó a decirse--¿Por qué no me odia?' Y se sorprendió un día a sí mismo a punto de pedir a Dios, en infame oración diabólica, que infiltrase en el alma de Abel odio a él, a Joaquín . . . . '¿Mas no es esto--se dijo luego--que me odio, que me envidio a mí mismo? . . . .'<sup>49</sup>

The love-hate dialectic reminds one of Richard's solitary dialogue (Richard III, V, iii). It will have to be discussed in detail in connection with media of conflict in doubleganger. Fondness-fear, attraction-flight, love-loathing, are genuinely interwoven in this





example and accompanying solitude, the medium of double existence.

It is evident that the interpretive meaning of "solitude" has little or no bearing on the appearance of el otro in some form or other. Psychologically, it may mean that the self is "withdrawn," sociologically, that he is "lonely," pathologically, that he is "not here," and so on. In genetical terms, the point of departure for a split in two is the singleness of one ovum. To say that twoness of any possible kind stipulates such singleness is easy enough to understand. The result of a split in two of a single human ovum is an appearance of a "special" fraternal pair: monozygotic twins, that is to say, two of one kind from a single zygote. Descriptions of such a process are literary realities. They will, without exception, contain the wirkungskreis of media of doubleganger appearance, namely, solitude-metamorphosis-fraternal pair. It is not a surprising fact, therefore, that doubleganger in belles-lettres are no exception to this rule. A brief glance at the affair of Abel Sánchez and Joaquín Monegro shows, for example, that in death they are identified as brothers (of the Cain-Abel variety), and in birth as twins: "No recordaban Abel Sánchez y Joaquín Monegro desde cuándo se conocían. Eran conocidos desde antes la niñez, desde su primera infancia . . ."50

The medium of a split in two of consciousness is again solitude. The basic idea of Hegel's unhappy consciousness is that of an individual who is unable to cope with his human companions other than in terms of himself. It is clearly the factor of this singleness, this existence für sich, which has not yet let him arrive





at a full realization of his self, and which lets the Other One appear only as a contradiction of his own being. ". . . sein Ge-  
rede ist in der Tat ein Gezänke eigensinniger Jungen, deren einer  
A sagt, wenn der andere B, und wieder B, wenn der andere A, und die  
sich durch den Widerspruch mit sich selbst die Freude erkaufen,  
miteinander im Widerspruche zu bleiben."<sup>51</sup>

This condition demonstrates the philosophical link between the  
social outcast, the renegade, the loner, the idiot, and madness-  
insanity-folly as attributes of a particular variety of doublegan-  
ger. The self is, in such cases, always thrown back on himself.  
He exists twice: for himself, and against himself.

If the appearance of a fraternal pair is the medium of double-  
ganger, the complements of solitude and metamorphosis take on a  
modified meaning. Since the appearance of doubleganger in such  
cases is well established in physical terms, solitude and meta-  
morphosis more often appear to become agents of conflict rather  
than of appearance. Grimm's folk tale No. 60, Die zwei Brüder,  
is a case in point.<sup>52</sup> So long as the brothers are together at  
the outset of the story, no significant doubleganger concepts  
come into play other than their twinship. After their separation,  
the narrative follows largely the fate of the first twin. But our  
hero is soon confronted with another counterpart, namely, the  
villain of the plot. The marshal is the wicked plotter and usurper  
and obviously replaces the second twin of whom there is no mention  
in this part of the tale, in his rôle of double. The marshal  
kills the hero, who has slain the dragon, and takes possession of  
the princess. By producing the evidence of the dead monster he





poses as the actual hero and dragon slayer and purports to be the rightful aspirant to the princess' hand and the throne. The hero, however, is revived and arrives just in time to uncover the plot, whereupon the marshal is torn to pieces.

The second part of the folk tale is, in structure, a repetition of the first. Without giving account of his past, the tale introduces the second twin, who arrives at the city when our hero is absent. There is again the factor of usurpation when the double does not reveal his identity and enjoys all the rights and privileges of the actual hero. He spends three nights with the queen, placing his sword between them, and then sets out to find his brother. In their new encounter, there is again a structural repetition of events. The first twin has been transformed into a stone by a witch. The second twin kills the witch, but the first kills his brother in the same manner in which formerly the marshal has done him in. He decapitates him. A revival follows, and this time both brothers enter the city at the same time, but from different ends.

The factors of solitude (i.e., the state of separation and singleness of hero and double) and metamorphosis (revival of dead hero; revival of dead double; transformation of hero and disenchantment) are here employed as media of conflict in doubleganger. This topic will be the basis of our discussion in the following chapter. It is important to note, however, that metamorphosis and solitude are nevertheless complements of the appearance of doubleganger as a fraternal pair. A detailed study of joint properties involved in this tale and its plot would demonstrate this point beyond doubt.





Let it suffice here to draw attention to two characteristic features: the division of pet animals following the twins, and the motif of entrance into the city.

When the twins set out in the beginning of their adventures, they are without company. When their rations are consumed, they look out for prey; but each time a potential quarry crosses their path, the animal would ask their pity, offering two of his cubs. The twins' actions are synchronized to the very detail; the text refers to the brothers as die Jäger, but the animal reacts as if encountering one being.

Lieber Jäger lass mich leben,  
ich will dir auch zwei Junge geben.<sup>53</sup>

The manifest content of these lines shows one hunter but hints at the twin existence with a double donation. This happens five times, the animals always reciting the same verse. So the twins are followed by five couples of animals; lions, bears, wolves, foxes and hares. When they separate, the animals are equally divided and follow in their wake.

The entrance into the city occurs five times, and in the following manner. a) The hero enters the city alone when it is all black because the princess is to be offered to the dragon; b) the marshal enters the city as a hero claiming to have slain the dragon; c) the revived hero enters the city when it is all red, the color of joy, in anticipation of the marshal's wedding; d) the second twin enters the city which is mourning the absence of the king, the first twin; e) both enter the city but again separately although at the same time, through different gates.





It was shown in the previous chapters that properties and qualities of the double must be understood as correlatives of the respective media. Thus, the media of reflection correlate with the properties of the double, as contained in the wirkungskreis, the media of projection correlate with the qualities of the double, and so on. It remains to be shown that in the present case, media of appearance correlate with the joint properties of doubleganger. In other words, the wirkungskreis solitude-metamorphosis-fraternal pair represents the universal expression of joint properties of doubleganger as well as the medium of their appearance. Let us, to clarify this point, choose two diverse examples, a scene and a plot.

The scene is Dorian Gray's famous confrontation with the picture, when the first change in the Other One's countenance takes place.

As he was turning the handle of the door, his eye fell upon the portrait Basil Hallward had painted of him. He started back as if in surprise. Then he went on into his own room, looking somewhat puzzled. After he had taken the buttonhole out of his coat, he seemed to hesitate. Finally he came back, went over to the picture, and examined it. In the dim arrested light that struggled through the cream-colored silk blinds, the face appeared to him to be a little changed. The expression looked different. One would have said that there was a touch of cruelty in the mouth. It was certainly strange. He turned around, and, walking to the window, drew up the blind. The bright dawn flooded the room, and swept the fantastic shadows into dusky corners, where they lay shuddering. But the strange expression that he had noticed in the face of the portrait seemed to linger there, to be more intensified even. The quivering, ardent sunlight showed him the lines of





cruelty round the mouth as clearly as if he had been looking into a mirror after he had done some dreadful thing.

He winced, and, taking up from the table an oval glass framed in ivory cupids, one of Lord Henry's many presents to him, glanced hurriedly into its polished depths. No line like that warped his red lips. What did it mean?

He rubbed his eyes, and came close to the picture, and examined it again. There were no signs of any change when he looked into the actual painting, and yet there was no doubt that the whole expression had altered. It was not a mere fancy of his own. The thing was horribly apparent.

He threw himself into a chair, and began to think. Suddenly there flashed across his mind what he had said in Basil Hallward's studio the day the picture had been finished. Yes, he remembered it perfectly. He had uttered a mad wish that he himself might remain young, and the portrait grow old; that his own beauty might be untarnished, and the face on the canvas bear the burden of his sins; that the painted image might be seared with the lines of suffering and thought, and that he might keep all the delicate bloom and loveliness of his then just conscious boyhood. Surely his wish had not been fulfilled? Such things were impossible. It seemed monstrous even to think of them. And, yet there was the picture before him, with the touch of cruelty in the mouth . . . . But the picture? What was he to say of that? It held the secret of his life, and told the story. It had taught him to love his own beauty. Would it teach him to loathe his own soul? No; it was merely an illusion wrought on the troubled senses. The horrible night that he had passed had left phantoms behind it. Suddenly there had fallen upon his brain that tiny scarlet speck that makes men mad. The picture had not changed. It was folly to think so.





Yet it was watching him, with its beautiful marred face and its cruel smile. Its bright hair gleamed in the early sunlight. Its blue eyes met his own. A sense of infinite pity, not for himself, but for the painted image of himself, came over him. It had altered already, and would alter more. Its gold would wither into grey. Its red and white roses would die. For every sin that he committed, a stain would fleck and wreck its fairness. But he would not sin. The picture, changed or unchanged, would be to him the visible emblem of conscience.<sup>54</sup>

The function of the media of appearance is quite obvious here. Dorian encounters his vis-à-vis in solitude. This is even emphasised later on when he locks the picture away and the following confrontations take place, as it were, in a secret chamber. In the present instance, metamorphosis is of vital importance. It is the appearance of the change in the face of the picture which gives rise to the problems of this confrontation. The presence of the fraternal pair is also obvious, although not literally mentioned. The twin resemblance is represented twice, and in terms of similarity-dissimilarity. The confrontation with the picture is followed by a confrontation with the mirror, and Dorian's double existence is thus re-enforced.

Close examination of this passage shows two distinct personalities. The human properties of Dorian's vis-à-vis are emphasised to the point of conscious observation: "it" is watching him, "with its beautiful marred face and its cruel smile." "Its" blue eyes meet his own. (In keeping with this attitude of the picture is Dorian's dehumanization. Dorian acquires the picture's artistic properties to the extent to which it gains his human features. This ex-





change of rôles is the principal function of metamorphosis in the pair. Observe how gestaltentausch is interlinked with the dialectic of similarity-dissimilarity). These personalities share properties which are their joint possessions, requisites, and tendencies. The media of appearance of this twoness are, at the same time, joint properties of the doubleganger pair. Solitude not only determines the environment or atmosphere of Dorian's appearance in two, but also his state of mind and mode of life. He is, at heart, a loner, an outcast, a renegade. But then, so is the picture which leads its hideous life in utter seclusion. Metamorphosis not only constitutes the particular change as a motive and setting for the appearance of two distinct Dorians: change and exchange are literally their modus vivendi and modus operandi. Finally, the twinship not only modifies the particular confrontation, but is the basic characteristic of the hero's being, or the double's existence.

Further analysis shows that these media of appearance, or joint properties, of doubleganger comprise a variety of particulars of the wirkungskreise of reflection, projection, and accompanying functions in the process of double existence. The first part of the passage is clearly dominated by the concept of reflection. The media of reflection, or properties of the double are, as we recall, the shadow, the reflection, the mirror, the image, the hallucination, the live twin. The setting follows the rule of an interplay of umbra and speculum. The property "shadow" initially dominates the atmosphere which is expected to be modified by darkness, night, twilight, gloom, sleep, dream, lack of substance.<sup>55</sup>





The admission of light upon the scene only intensifies these qualities. But even the light comes as a diminished force: "The bright dawn flooded the room, and swept fantastic shadows into dusky corners, where they lay shuddering." (*italics mine*).

Significantly enough, the actual confrontation takes place with the hero between source of light and image reflected; Dorian sees, so to speak, his shadow in the sun.

The rôle of the mirror, the image, the shadow and the reflection, as properties of the double and media of reflection, is very obvious here. The aspect of hallucination is at least immanent when one compares Dorian's double reflection, i.e. that in the portrait ("as clearly as if he had been looking into a mirror . . .") and that in the "polished depths" of his oval glass. By virtue of the manifest change, the double acquires the property of a "live twin." "The thing was horribly apparent."

At this point, however, projection begins to dominate the scene. The hero's state of projection is pronounced in detail in the following statement: "He had uttered a mad wish that he himself might remain young, and the portrait grow old . . . ." The six types of qualities of the double are the soul, the spirit, the scapegoat, the tempter, the conscience, the unhappy consciousness. As was pointed out in the beginning of this chapter, the double may become the embodiment of each one of these types or a combination thereof, while the associated setting will be staged in terms of madness-insanity-folly as the resulting environmental factors of the wirkungskreis. This is clearly the case in this instance. To be sure, the tempter quality is not manifestly re-



presented here, but we know that it will assume an important function later on in the event. But of the other five quality types there exists a complex interrelation. A brief list of statements from the passage will elucidate this.

"It had held the secret of his life, and told his story . . . . Would it teach him to loathe his own soul?"

"No; it was merely an illusion wrought on the troubled senses. The horrible night that he had passed had left phantoms behind it." (spirit; also, hallucination)

"For every sin that he committed, a stain would fleck and wreck its fairness." (scapegoat)

"The picture, changed or unchanged, would be to him the visible emblem of conscience."

". . . that the painted image might be seared with the lines of suffering and thought . . ."  
(conscience)

Madness, insanity, folly represent the process of projection and function as attributes of the hero's state of mind. In this sense, the quality type involved in the following statements is the unhappy consciousness, initiator of a split mind and a split existence. "Suddenly there had fallen upon his brain that tiny scarlet speck that makes men mad. The picture had not changed. It was folly to think so."

If this scene from The Picture of Dorian Gray exemplifies the crucial importance of metamorphosis in the appearance of double-ganger, the following plot will stress this fact, all the more so since the concept of transformation modifies not only the appear-





ance, but also the disappearance, of doubleganger. Lord George Hell, the "hero" of Max Beerbohm's The Happy Hypocrite, begins his double existence with the acquisition of a mask. Jenny Mere, whose love he seeks, assures the ugly Lord that she can only love someone whose face is "even as a mirror of true love." Mr. Aeneas accommodates the anxious Lord with a mask that will last a lifetime, and will fulfil these conditions. "When Lord George looked through the eyelets of his mask into the mirror that was placed in his hand, he saw a face that was saintly, itself a mirror of true love . . . . His voice went strangely through the mask's parted lips, as he thanked Mr. Aeneas."<sup>56</sup>

The process of reflection is repeated and emphasised when Lord George seeks the solitude of the banks of a little stream which bears a very significant name. "Presently he came to the bank of that tiny stream, the Ken, which still flowed there in those days . . . as he peered down at it, he saw in the stream the reflection of his mask."<sup>57</sup>

With this the transformation seems to be accomplished, and Jenny Mere promptly appears on the opposite bank of the stream. Lord George's double life begins. The final attempt of the angelic counterfeit to abolish the demoniac hypostasis involves the characteristic change of names and happens on their wedding day. ". . . he purchased a special licence. When the clerk asked him to write his name upon it, he hesitated. What name should he assume? Under a mask he had wooed this girl, under an unreal name he must make her his bride . . . . Surely George Hell was dead, and his name had died with him. So he dipped a pen in the ink and wrote "George Heaven," for want of a better name."<sup>58</sup>





The problem seems to be solved. The old George Hell seems to be non-existent, until La Gambogi, the Lord's one-time lover, seeks him out. La Gambogi blurts out the secret of his mask and beseeches the dumbfounded Jenny to grant her but one more glance at the Lord's true face: ". . . grant me this piteous favour, show me your face but for one instant, and I vow I will never again remind you that I live. Intercede for me, little bride. Bid him unmask for me. You have more authority than I. Doff his mask with your uxurious fingers. 'What does she mean?' was the refrain of poor Jenny . . . ."57

At this dramatic point in the narrative, the outside observer has a clear picture of the Lord's ironic demoniac-angelic double existence. The joint properties of projection (purchase of the mask; the setting is metamorphosis) and reflection (the glance into the river Ken; the setting is solitude) together with the enacted namentausch have led to the familiar pattern of fraternal existence of doubleganger. This twinship is now on the verge of being undone and yet is being strangely reinforced at the same time. For Jenny Mere's image of the Lord has, since her appearance opposite him at the river Ken, become the manifest representation of his personality. The latent counterpart of George Hell, even for the reader and George Heaven himself, has vanished. La Gambogi's appearance on the scene and her subsequent demands threaten to lay bare the forgotten alter ego of the gay Lord. But her equivocal generosity strongly implies that she will not stop here, for her manifest image of the Lord is that of George Hell. It would seem that neither woman is in any way inclined to compromise in accepting the Lord in twain.





The solitude will have to come with the unmasking, a second metamorphosis, to be sure, but one in which the Lord is not an active participant. As the change is not going to be made by him, the event lacks media of the self's reflection, or projection. Joint properties of doubleganger will be absent therefore, and except for metamorphosis, the media of appearance of doubleganger have vanished. Solitude was cancelled out once and for all when Lord George signed his new name on the marriage-certificate. Unlike the confrontation with himself at the river Ken, he is no longer "alone" in the present scene. The concept of the "fraternal pair" must also be absent in the moment of unmasking, because it is the fact that the mask is being worn which creates the twinship of Lord Heaven and Lord Hell. With all these concepts of doubleganger gone, the new face of Lord George will represent his one and only personality.

Meanwhile, La Gambogi grips the mask and rips it from his face. ". . . . It lay before her upon the lawn, upturned to the sky. . . . there, staring back at her was the man she had unmasked, but lo! his face was even as his mask had been. Line for line, feature for feature, it was the same. 'Twas a saint's face."<sup>60</sup>

The conclusion of the story emphasises the end of Lord George's split existence when it has the instrument of his double life vanish from the scene. "They were alone in the garden now.

Nor lay the mask any longer upon the lawn for the sun had melted it."<sup>61</sup>

A universal description of joint properties of doubleganger and the media of their appearance must account for three basic pheno-





menological principles. First, all properties and all qualities of the double, as defined by the wirkungskreise comprising the media of reflection and projection, as well as all associated attributes of double existence in reflection and projection, can function as media of appearance or joint properties of doubleganger by changing from aspects of a particular state of existence to working momenta in a process of double existence. As has been pointed out, properties thus become a) things owned, i.e. possessions; b) requisites or "props;" c) attributes or traits, and tendencies forthcoming from these characteristics. Their phenomenological significance as joint properties of doubleganger is evident in the way in which they are a) shared in half, b) doubled, c) exchanged.

Secondly, three factors assume a key position in the appearance of doubleganger. They are solitude, metamorphosis, fraternal pair. Of these, metamorphosis appears to play the crucial rôle as medium of appearance and disappearance. It was shown that the exchange of properties of any kind between prospective heroes and doubles not only makes such properties joint properties but also emphasises all other joint properties already qualifying the particular pair. It was concluded, subsequently, that the phenomenon of the exchange itself must be assumed to be the responsible medium of appearance of doubleganger. As typical particulars of this phenomenon of exchange, namentausch and kleidertausch were mentioned. A total exchange of properties between a pair was defined as gestaltentausch. However, while gestaltentausch represents a universal expression of these and other varieties of exchanges, it does not necessarily include the change from oneness into twoness. This process, which





begins with the existence of one person and ends with the accomplished split in two, is called transformation. In a universal description of the phenomena of change and exchange, transformation and gestaltentausch are therefore correlatives which, in a combined form, represent the universal medium of appearance of doubleganger. Metamorphosis is thus defined as the force which initiates oneness of two personalities, and twoness of one personality.

In the wirkungskreis of media of doubleganger appearance solitude and fraternal pair are two vital components. By virtue of their phenomenological affinity with metamorphosis, they function as complements of joint properties or represent complementary media of appearance.

Thirdly, the new group of concepts, or wirkungskreis, which has thus been established, represents the universal expression of joint properties of doubleganger as well as the universal expression of the medium of their appearance. The media of appearance and the joint properties of doubleganger are phenomenological correlatives.



## FOOTNOTES

<sup>1</sup>Heinrich von Kleists Werke, ed. Georg Minde-Pouet, 2nd ed., Leipzig, 1936, Vol. III; Amphitryon, p. 101.

<sup>2</sup>Das mittelhochdeutsche Gedicht vom Fuchs Reinhart, ed. Ingeborg Schröbler, second edition, Halle, Saale, 1952, p. 34; compare also Chapter I, pp. 52-6.

<sup>3</sup>Daphne du Maurier, The Scapegoat, Harmondsworth, 1957, pp. 309, 307 and 296, respectively.

<sup>4</sup>pp. 235 and 307, respectively.

<sup>5</sup>pp. 310 and 311.

<sup>6</sup>pp. 22-3.

<sup>7</sup>Compare the image of Herakles surrounded "von der Dunkelheit der Nacht" (Chapter I, p. 69) and the passage from The Secret Sharer, (Chapter I, p. 68).

<sup>8</sup>Robert Louis Stevenson, Dr. Jekyll and Mr. Hyde, London, 1961-, hereafter cited as Dr. Jekyll.

<sup>9</sup>Dr. Jekyll, p. 19.

<sup>10</sup>p. 21.

<sup>11</sup>p. 19.

<sup>12</sup>p. 18.

<sup>13</sup>p. 25.

<sup>14</sup>James Joyce, Ulysses, New York, 1961, pp. 583-4. Compare in this connection the beginning of the Proteus Chapter, *ibid.*, p. 37: "My ash sword hangs at my side. Tap with it: they do.





<sup>14</sup>(continued) My two feet in his boots are at the end of his legs, nebeneinander."

<sup>15</sup>Ф. М. Достоевский, Бесы, Собрание сочинений, Москва, 1957, Vol. VII.

<sup>16</sup>"by surname."

<sup>17</sup>"by given name and by the father's name," i.e. christian name and patronym.

<sup>18</sup>Бесы, p. 556.

Stavrogin put up a strange smile.

"If you weren't such a fool, I might have said "yes" right now . . . . If only you were just an ounce smarter . . ."

"So I am the fool. But you, my principal half, you must not turn a fool as well. I do not wish it. You understand what I mean?"

Stavrogin would understand. In fact, he was probably the only one who could . . . .

Note also the involvement of "fool" as the double's property. Pyotr's illusory negation makes of course Stavrogin a fool as well.

<sup>19</sup>p. 371. "Well after all, I am not obliged to give you an account of my previous life," he went on, waving his hands, "the whole thing is rather insignificant; at the most, the whole affair involves three and a half fellows . . ."

<sup>20</sup>p. 373. "And who is running the thing? Three fellows and a half a fellow."

<sup>21</sup>p. 374. "Three of them we know already: Shatov, Kirilov and that second lieutenant. As for the rest, I am just about to look them over . . . besides, I am not altogether short-sighted . . . ."



- <sup>22</sup>p. 403. "Where we are going, there will be four members of our circle."
- <sup>23</sup>The Works of the Late Edgar Allan Poe, ed. N.P. Willis, New York (Redfield), 1858, Vol. I, p. 421, hereafter cited as William Wilson.
- <sup>24</sup>William Wilson, p. 422.
- <sup>25</sup>p. 423.
- <sup>26</sup>Amphitryon, pp. 6-22.
- <sup>27</sup>Amphitryon, p. 6.
- <sup>28</sup>p. 21.
- <sup>29</sup>pp. 99-100.
- <sup>30</sup>p. 100.
- <sup>31</sup>particularly in Act I, Scene II.
- <sup>32</sup>p. 101.
- <sup>33</sup>p. 8.
- <sup>34</sup>ibid.
- <sup>35</sup>ibid.
- <sup>36</sup>p. 14.
- <sup>37</sup>p. 101.
- <sup>38</sup>Jean Pauls Sämtliche Werke, ed. Eduard Behrend, Weimar, 1927-, Abteilung I, 19 vols., 1927-44, Vol. VI, ed. Kurt Schreinert, Weimar 1928, p. 30.
- <sup>39</sup>p. 30.





<sup>40</sup>p. 29.

<sup>41</sup>p. 29.

<sup>42</sup>p. 29.

<sup>43</sup>Géza Roheim, Spiegelzauber, Leipzig, 1919, p. 122.

<sup>44</sup>ibid.

<sup>45</sup>This existential solitude is well expressed, however, in Valéry's "Fragments du Narcisse:"

Je suis seul . . . ! Si les Dieux, les échos et les ondes  
Et si tant de soupirs permettent qu'on le soit!

Seul . . . ! mais encor celui qui s'approche de soi  
Quand il s'approche aux bords qui bénit ce feuillage . . .

(Oeuvres, Paris, 1957, Vol. I, p. 123).

<sup>46</sup>Eugène Azam, Hypnotisme, double conscience et altérations de la personnalité, Paris, 1887, p. 234.

<sup>47</sup>ibid., p. 69.

<sup>48</sup>Miguel de Unamuno, Abel Sanchez and Other Stories, trans. Anthony Kerrigan, Chicago, 1956, p. 77. All translations of the Spanish original will be quoted hereafter from this edition.

<sup>49</sup>Miguel de Unamuno, Obras completas, Madrid, 1967, Vol. II, pp. 689-759; hereinafter cited as Abel Sanchez. The present quotation is in Chapter XXI, p. 727.

"What I need is solitude, solitude. Blessed solitude!" And yet he would go back. He would go back because he was unable to endure his solitude. For in solitude he never managed to be alone, the other one was always present. The other one! He went so far as to catch himself in a dialogue with him, supplying the other's words for him. The other, in these solitary dialogues, in these monologues in dialogues, spoke to him without



<sup>49</sup>(continued) rancor of any kind, of indifferent matters, even sometimes of pleasant things. 'My God, why doesn't he hate me?' Joaquín came to ask himself. 'Why doesn't he hate me?'

One day he even found himself on the point of addressing God, of asking him in a diabolic speech to infiltrate some hatred into Abel's heart, hatred toward himself, Joaquín . . . .

'But,' he asked himself, 'doesn't all this simply prove that I hate myself, that I envy myself?'"

(Abel Sanchez and Other Stories, pp. 77-78).

<sup>50</sup>Abel Sanchez, p. 689. Italics mine.

"Neither Abel Sanchez nor Joaquín Monegro could remember a time when they had not known each other. They had known each other since before childhood--since earliest infancy, in fact . . . ."

(Abel Sanchez and Other Stories, p. 3).

<sup>51</sup>Georg Wilhelm Friedrich Hegel, Phänomenologie des Geistes, Hamburg, 1952, p. 158.

<sup>52</sup>Die Märchen der Brüder Grimm. Vollständige Ausgabe, ed. Wilhelm Grimm, Leipzig, 1924, pp. 270-291.

<sup>53</sup>p. 274.

<sup>54</sup>Oscar Wilde, The Picture of Dorian Gray, Harmondsworth, 1961, pp. 102-104.

<sup>55</sup>vide Chapter I.

<sup>56</sup>Max Beerbohm, The Happy Hypocrite, London, 1915, p. 39.

<sup>57</sup>The Happy Hypocrite, p. 34.

<sup>58</sup>pp. 53-4.

<sup>59</sup>p. 67.





<sup>60</sup>p. 68.

<sup>61</sup>p. 70.



## CHAPTER V

### MEDIA OF CONFLICT: JOINT QUALITIES OF DOUBLEGANGER

In a universal description of doubleganger the concepts of cause and effect are not at issue. This becomes particularly clear in an analysis of doubleganger conflict where introducing cause and effect as critical points of view would create a circulus vitiosus. To ask what is the cause of conflict in doubleganger is futile because the phenomenon is itself a paradox, and therefore conflict per se. To search for the cause of doubleganger is equally beside the point in this context, because the phenomenon is, per se, an erscheinung of conflict, not its effect.

It seems logical under these circumstances that the media of conflict must be identities of the media of appearance of doubleganger, though modified in certain ways according to the stage of progress in doubleganger existence. To investigate this correlation of identity and modification is the chief problem of this chapter.

This will require a thorough discussion of the basic functions of the medium itself, and of doubleganger as its correlative phenomenon. Observing these functions in the states of reflection and projection, as well as in the process of appearance of hero and double, we may describe the medium as a "mediator," "container," and "manipulator" of double existence. But as such mediator, container, and manipulator the medium also expresses particular pro-





perties and qualities of hero and double, as well as joint properties and joint qualities of doubleganger. In the state of reflection, the type "image" as a medium of double existence also represents a property of the Other One. In projection, "conscience" as a medium will render the dominating qualities of the double. During the process of appearance of doubleganger "solitude" also shows the essential joint properties of the pair. This dualism of the particular medium is characteristic for a true doubleganger case and may appear in many different aspects. One of the cases most frequently observed is the division in two of the mirroring properties of the medium, for instance into "source of light" and "speculum."<sup>1</sup>

The state of hero and double, or the movement of doubleganger, as the case may be, takes place in a medium and is determined through the dualistic constitution of this medium. A conflict which arises is therefore a manifestation of such dualism in literary reality.

Twinship and fraternal relation have been established as vital factors in doubleganger existence. The idea suggests itself, therefore, that the universal relation or correlation of doubleganger is fraternal. In the light of these facts, the medium, qua contradiction and complement of this masculine definition and fraternal correlation of doubleganger, will emerge as a feminine principle and the sororium component of the phenomenon. This becomes particularly clear in cases where the conflict of doubleganger assumes its most intense form, namely, where the medium of conflict is incest.<sup>2</sup> Of a variety of prototypes of this conflict let us select four for brief illustration.





(1) An interesting case presents the version of Cain and Abel according to which Cain was jealous of his brother because Eve intended to give his twin sister to Abel.<sup>3</sup> Of course a biblical version, or even a later literary version which is based on the literary realities as represented in biblical and pseudobiblical literature, has the disadvantage that incest would come as a matter of course. In these circumstances Cain cannot but love his sister, though obviously this sister must not necessarily be the object of fraternal jealousy, in that Cain loves the same sister as Abel, and his twin sister at that. This in itself, then, is not enough to support the view that Cain and Abel are hero and double. But the motivation of the conflict, together with the factor of twinship involved in the plot, makes the antagonists potential doubleganger. In Byron's Cain for instance, where the motive of incest in the above form is not manifestly present, there are strong indications of an Abel-Cain identity. I am referring to Cain's statement after he has slain Abel. Significantly enough the identification with Abel involves solitude and an exchange of rôles.

Where am I? alone! Where's Abel? Where  
Cain? Can it be that I am he? My brother,  
Awake . . .<sup>4</sup>

The factor of solitude can be considered common in all possible versions of the myth. Metamorphosis and incest are less frequent, but where they occur they are essential to the conflict. Böklen reports one version in which Cain is the one who falls victim to his antagonist.<sup>5</sup> Elsewhere, the author points out that the name of Abel (from Hebrew "Hebhel") is commonly interpreted to mean





"breath, whiff, nothingness."<sup>6</sup> S. Levin, the hero of Bernard Malamud's A New Life, sees Duffy, his shadow double, in this light. He attributes this property to a Cain-Abel relationship. "Why the obsessive linking himself with the fabricated prototype, no more than just another guy trying to run into the meaning of his life, raising a little Cain in the process . . ."<sup>7</sup>

The presence of Cain is almost purely nominal and semantic in this instance, yet its phenomenological import is similar to the mention of "Cain's jaw-bone" in Hamlet V, i, where the seemingly irrelevant remark not only characterizes Hamlet's preoccupation, but reinforces the theme and conflict of fratricide in the play.

The exchange of rôles in its most significant form takes place, as in Byron's Cain, at the climax of the conflict itself. Joaquín Monegro suggests once that ". . . si Cain no mata a Abel habría sido éste el que habría acabado matando a su hermano."<sup>8</sup>

In such cases, it is then no longer possible to distinguish the slayer from the slain. The controversial line in Abel Sanchez, when the fratricide has taken place, can only be understood in these terms. ". . . ha matado a Abel Cain tu abuelo Cain . . ." allows no unequivocal interpretation. As a matter of fact, "Abel Cain" can be read as one person, the object of the sentence, and as such, the victim of the slaying. The sound-association of Abel Cain-abuelo Cain emphasises this aspect, particularly when one considers the diminutives abuelito-Abelito; for their grandson refers to both Abel and Joaquín as abuelito.<sup>9</sup> The idea that incestuous jealousy motivates the Cain-Abel conflict may not be a very familiar one, but the motif is frequently met with in pseudo-





biblical literature. Abel Sanchez is, in this respect, a modern and more elaborate example to the point, for here the involvement of incest is of a magnitude comparable to that in Wagner's Ring des Nibelungen.

(2) The Pausanias version of the Narcissus myth, our second example in this instance, we have already discussed in Chapter III.<sup>10</sup> The media of appearance, solitude, metamorphosis, fraternal pair, are very clearly established in this case. The common concept of Narcissism can in fact not be imagined without the vital factor of solitude, for we think of Narcissus, in these terms, as a hermit and "pond-dweller." The fraternal factor is emphasised when we corroborate the Pausanias version with other varieties of the myth. Metamorphosis takes on the form of gestaltentausch, a tendency to change sex by changing rôles or garments. This is one of the cases where the medium manifests itself, literally, as the sororium component and feminine principle of double existence.

The case reveals, however, that the component "fraternal pair" of the wirkungskreis describing media of appearance is modified in the conflict. The medium dominating the conflict in the present case of doubleganger is, clearly, incest. Narcissus languishes at the spring with the desire for his twin sister. The conflict results, to be sure, in the death of the hero rather than the "antagonist," but considering the exchangeability of rôles in the Cain-Abel varieties, the phenomenological affinity is obvious.

Two parallel examples involving incest, or potential incest and double existence may further illustrate this point. Roheim reports





the following wedding custom in Russia. "Bei den Großrussen wird der Bräutigam zur Braut geführt. Er setzt sich ihr auf den Schoß, worauf ihm ein Spiegel gereicht wird, damit er sehe, ob das auch seine Frau sei. Der Bräutigam sieht in den Spiegel und erklärt, es sei nicht seine Frau. Die Braut küßt ihn, er sieht wiederum in den Spiegel, erkennt sie aber immer noch nicht . . . ." In a footnote following this statement, the author advances this interpretation: "Der Bräutigam, der sich der Braut in den Schoß setzt, vollzieht eine Regression ins Infantile. Er ist das Kind, welches sich in den Schoß der Mutter setzt, um dann auf dem Wege der Libidoübertragung in der Braut das Ebenbild der Mutter von neuem aufzufinden."<sup>11</sup> R.D. Laing reports the following episode from "The case of David."

Following his mother's death when he was ten, David began to display an extensive identification with her; he dressed himself up in her clothes in front of the mirror and kept house for his father just as his mother had done, even to the extent of darning his socks, knitting, sewing, doing embroidery, tapestry, selecting chair covers and curtains. Although it is quite obvious to an outside observer, to neither the patient nor the father was it apparent to what an extent he had become his mother. It is also clear that in doing so the boy was complying with a wish on his father's part that had never been directly expressed and of whose existence his father was quite unaware. The false self of this schoolboy was already a most complex system by the time he was fourteen. He was unaware of the extent of his identification with his mother but he was intensely aware of his compulsive tendency to act in a feminine way and of his difficulty in shaking off the part of Lady Macbeth.<sup>12</sup>





(3) This leads to our third illustration, in which the twin incest is more tangible and in which it seems to precede double existence and conflict. Otto Rank, in Das Inzest-Motiv in Sage und Dichtung, reports the following version of the birth of Isis and Osiris.

Schon im Mutterschoße entbrannten . . . die beiden Geschwister Isis und Osiris in Liebe zueinander und begatteten sich, so daß von der Ungeborenen Arneris geboren wurde. So kamen die beiden schon als Geschwistergatten zur Welt. Ihnen steht ein scheinbar nicht ursprüngliches Geschwistergattenpaar, Set und Nephthys, gegenüber, das offenbar später auf dem Wege der Doublettierung eingeführt wurde, um . . . den Kampf zwischen Osiris und seinem Bruder Set zu motivieren. Während nämlich der ursprünglichen Überlieferung nach Set seinen Bruder Osiris aus Herrschsucht tötet, machte die spätere Überlieferung dafür den unbewußten Inzest des Osiris mit seiner zweiten Schwester Nephthys, der Gattin Sets, verantwortlich . . .<sup>13</sup>

Two points are of interest to us in this otherwise quite familiar plot. They are, firstly, the author's concept of Doublettierung, and, secondly, the replacement of usurpation as a motive of fratricide with incestuous jealousy. The first point serves to support the argument that in literary reality incest and double existence frequently coincide. The second point makes it clear that usurpation and incest are modified particulars in the conflict of doubleganger. The mention of "Cain's jaw-bone" in Hamlet V, i, and the fratricide staged by him (III, ii) is such a "coincidence." Another coincidence of incest and Doublettierung is the case of Eteokles and Polyneikes, twin sons to Jocasta, who kill each other in combat. In yet another case of





coincidence incest and double existence become vital ingredients of the plot when an Italian duchess, who has had intimate relations with her handsome son, is summoned before an imperial court. In her distress she turns to the Virgin Mary who appears before the Emperor in the duchess' guise and stead and can thus successfully refute the charges.<sup>14</sup> As for usurpation and incest as modified motives in doubleganger conflict, the phenomenological affinity of both becomes evident when one considers the typical Cain-Abel varieties in terms of accompanying functions of doubleganger, particularly of similarity-dissimilarity, and autosite-parasite.

Paternal-filial rivalry representing incestuous conflicts of doubleganger seems to appear less frequently than a clash between brothers or twins. In literary reality, the primary expression of incestuous conflict is dominantly fraternal, and not paternal-filial. The chronology of the Oedipus plot is one of the rare exceptions (i.e. a) parricide, b) mother-incest, c) twinship, d) double fratricide).

- (4) . . . in einem Liede aus Wolhynien [setzt] eine Witwe ihre zwei neugeborenen Söhne auf der Donau [sic] aus. Im zwanzigsten Jahr kam ein Schiff die Donau herauf und zwei donsche Brave darauf. Der eine sagt: "Sei gegrüßt, Witwe, liebst du den vom Don? Wirst du dem vom Don folgen?--O, ich liebe den vom Don und werde ihm folgen: zu dem einen gehe ich selbst, zu dem andern sende ich die Tochter!--Sie nahm die beiden in ihrem Haus auf und bewirtete sie mit Wein und Met. Ach, du Witwe, du junge, töricht ist dein Kopf! Du selbst hast uns geboren, in die stille Donau gesetzt und die Donau gebeten: ach du stille Donau, nimm





meine Kinder auf! Was für eine Welt hat jetzt angefangen, daß ein Bruder seine Schwester nicht erkennt! O, und was ist das für eine Welt geworden, daß ein Sohn die Mutter nimmt! Geh hin, Mutter, ertränke dich, ich aber werde in den Wald gehen, möge ein Tier mich verzehren!"

In diesem Kleinrussischen Lied kommt zwar der Inzest mit der Mutter (und auch mit der Schwester) vor, es fehlt aber die Tötung des Vaters, eine Auslassung . . . . Bemerkenswert ist jedoch daß in fast allen diesen Fällen vom Vater überhaupt nicht die Rede ist: Der Totschlag des Vaters ist zur Vaterlosigkeit abgeschwächt.<sup>15</sup>

Let us carefully analyse this song from Volhynia. The pattern of media of appearance seems to be a combination of solitude (Aussetzung) and fraternal pair. The mother serves the function of the "feminine principle," and manipulator of the pair. She is, in giving birth to the children and in exposing them, Celui qui modifie, bringing about twin existence and solitude. It is quite indicative, therefore, that in the beginning conflict (which does not, to be sure, climax in a fraternal combat but has obviously similar results) it is the mother, in her capacity of Celui qui modifie, who pronounces both the conditions of conflict and the state of appearance of doubleganger in this conflict. "I love him," she says, "who is of the Don, and I will follow him: to the one I will go myself, to the other I shall send the daughter." This statement and the fact that the medium, qua incest, appears in twain (mater et soror), describes the twin brothers as two persons of one personality. The conclusion of the song, in which this personality proposes suicide, can therefore be clearly understood as an alternative to a "doubleganger fratricide."





Two conclusions can be drawn from the discussion of these four examples of doubleganger conflict. They are, firstly, that the media of conflict are modified media of appearance, and secondly, that in conflict the appearance of the fraternal pair coincides with incest. Therefore, the wirkungskreis of media of conflict can be described by the correlative components: solitude, metamorphosis, and incest. This point will be clarified by further analysis of certain "phases" and "features" as well as "motives" and "agents" of doubleganger conflict.

It will be recalled that the concept of "wirkungskreis" was not to be understood as an independent or autonomous unit, but one which immediately correlates with, and comprises, other wirkungskreise. In one singular doubleganger event, many particulars of the various wirkungskreise involved may often be absent, or only potentially represented. The representation of properties and qualities of the double, and joint properties and joint qualities of doubleganger, as well as the presence of accompanying functions in double existence can never be expected to be complete in one single doubleganger event in the sense that all particulars of each wirkungskreis manifestly occur. We cannot expect a total involvement of all particulars and their associated aspects: but a total involvement of the five wirkungskreise is inevitable in every event that includes, or leads to, a doubleganger conflict.

In the most complex form of appearance of doubleganger, namely, that of conflict, the individual phenomena of the wirkungskreise are associated freely with each other and in this association form a pattern of conflict. This pattern of conflict can also be





described as the sum of "phases," "features," "motives," and "agents," of conflict in double existence, and the conflict itself can be observed in two general stages, one of its evolvment and one of its solution. The phases, features, motives and agents of conflict represent particular types of properties and qualities of the various wirkungskreise as well as particular functions associated with these wirkungskreise, and are, by the nature of their definition, "joint qualities of doubleganger." In the following pages it will be our task, firstly, to observe how such patterns of conflict evolve and, subsequently, to discuss possible solutions of such conflicts.

The scope of the pattern of conflict will be directly proportional to the complexity of the respective doubleganger episode. A fully developed plot may contain several agents of conflict and several phases which are likely to anticipate in quality the final phase of conflict, or its solution. A brief episode, on the other hand, might consist of one phase which would indicate the evolvment of a conflict but contain no solution.

The important phases of doubleganger conflict are the media of conflict themselves. Solitude was seen as such a phase in the hero's solitary confrontation with his image in the water (Chapter IV, p. 183). Gautier's Chevalier double, who grows up under "two stars," goes through the agitation of doubleness in solitude:

. . . tantôt il pleure, tantôt il rit; il est capricieux comme la lune, fantasque comme une femme; il va, vient, s'arrête tout à coup sans motif apparent, abandonne ce qu'il avait entrepris et fait succéder à la turbulence la plus inquiète l'immobilité la plus absolue; quoiqu'il



described as the one of "Lactaria," "Lactaria," and

"Lactaria," of which is also known, and which is

well known to be observed in the same places, and in the same

and one of the same. The same, however, and the same

of which is observed in the same places, and in the same

of the same, and which is also observed in the same

associated with the same, and which is also observed in the same

their distribution, and which is also observed in the same

which is also observed in the same, and which is also observed in the same

of which is also observed in the same, and which is also observed in the same

of which is also observed in the same, and which is also observed in the same

The same of the same, and which is also observed in the same

in the same, and which is also observed in the same

observed in the same, and which is also observed in the same

known when the same is observed in the same, and which is also observed in the same

is observed, on the same, and which is also observed in the same

also observed in the same, and which is also observed in the same

is observed in the same, and which is also observed in the same

The same of the same, and which is also observed in the same

of which is also observed in the same, and which is also observed in the same

also observed in the same, and which is also observed in the same

also observed in the same, and which is also observed in the same

also observed in the same, and which is also observed in the same

also observed in the same, and which is also observed in the same

also observed in the same, and which is also observed in the same

also observed in the same, and which is also observed in the same

also observed in the same, and which is also observed in the same

soit seul, il paraît converser avec un interlocuteur invisible! Quand on lui demande la cause de toutes ces agitations, il dit que l'étoile rouge le tourmente.<sup>16</sup>

Joaquín Monegro's solitary dialogues in Abel Sanchez are clearly phases of conflict with the Other One (Chapter IV, p. 185).

Metamorphosis as a phase of conflict can be imagined in almost every other doubleganger case. An important example is Dr. Jekyll and Mr. Hyde because here this phase is constantly repeated and, although usurpation is the feature of this conflict, metamorphosis is the first phase of its evolvment and the final phase of its solution.

The problem of incest in connection with doubleganger has been discussed above. As a phase of conflict, incest can take on many forms and play an important part in the solution, notably as parricide, fratricide, or suicide. This will be shown in more detail in the second half of this chapter. As we have seen in several examples, particularly in that of the Pausanias version of Narcissus, incest can also be a phase of evolvment of conflict. But whether such a phase will lead to a manifestation of double existence and a spectacular showdown between antagonistic doubleganger will depend largely on the development of incestuous jealousy or its sublimated form, sexual frustration, in the plot.

In Thomas Mann's Wälsungenblut a clash does not occur because the incestuous liaison is fulfilled without outside interference. A confrontation with the mirror occurs three times: Siegmund dressing up for the opera,<sup>17</sup> Siegmund and Sieglind, his twin sister, watching themselves in a mirror at the opera,<sup>18</sup> and, finally,





Siegmund contemplating his image in the threefold mirror of his bedroom, conjuring up his twin. ". . . er stützte die Wange in seine schmale und rötliche Hand und blieb so, versunken in den Anblick seines Spiegelbildes dort drüben im Schranke. Es pochte . . . . Sieglind trat ein."<sup>19</sup>

Very obviously, the object of Siegmund's (if to that point subconscious) desire replaces his image in the mirror; the sexual fulfilment ensues and the story ends there.

Phases of conflict can also be represented by the concepts of reflection and projection. When the dupe in the Chinese folk-tale sells his goods to his image in the well, there follows no immediate antagonism;<sup>20</sup> but a clash between hero and double might well result should the former insist upon payment. Such a conflict is also avoided (reflection remaining a phase of conflict) when Fidelman is persuaded to obey the advice of the light bulb which at first he chooses to ignore.

Anyway, he didn't care for the bulb. He knew why when it began, one night, to speak to him . . . . Fidelman, said the voice of, or from within, the bulb, why are you here such a long time in this cave? Painting--this we know--but why do you paint so long a whole cave? What kind of business is this?

Leaving my mark is what. For the ages to see. This place will some day be crowded with visitors at a dollar a throw. Mark my words.

But why in this way if there are better?

What would you suggest, for instance?





Whatever I suggest is too late now, but why don't you go at least upstairs and say hello to your sister who hasn't seen you in years? Go before it is too late, because she is now dying.

Not quite just yet I can't go, said the painter . . . .<sup>21</sup>

The combination of source of light and speculum is remarkable in this scene of reflection. Fidelman converses, so to speak, with his shadow in the sun. The conflict which might develop by his refusal to acknowledge the lamp's demand can well be anticipated from this situation. The hero's self-annihilation is at all times a potential solution ("putting out his light"). The bulb "knows" this and indulges Fidelman with an allusion to the ancient prototype of parricide and mother incest.

Don't be so proud my friend. Pride ain't spinach. You can't eat it, so it won't make you grow. Remember what happened to the Greeks.

Praxiteles? He who first showed Aphrodite naked? Phidias, whose centaur's head is thought to be a self-portrait? Who have you got in mind?

No, the one that he tore out his eyes. Watch out for hubris. It's poison ivy. Trouble you got enough, you want also blisters? Also an electric bulb don't give often advice so listen with care. When did you hear last that an electric bulb gave advice? Did I advise Napoleon? Did I advise van Gogh? This is like a miracle, so why don't you take advantage and go upstairs?<sup>22</sup>

Projection may function as a phase of conflict in a somewhat similar way. The photograph in a German weekly shows a man in upright position looking upon his sleeping self. The legend reads,





"Ungläubig starrt dieser Mann auf die vor ihm liegende Gestalt: es ist er selbst! So stellt sich der Fotograf die gespenstische Szene vor, wenn man unvermittelt seinem eigenen Körper gegenübersteht."

The situation looks harmless; the accompanying article, however, gives several stories, of which the following is an example to the present point. In this phase of conflict, typically, sexual frustration and jealousy are involved as agents of such conflict.

Der Parapsychologe Willi Schrödter berichtet von einem Erlebnis, das ein englischer Ingenieur John Damany hatte, der eines Mittags einschlief, das Gefühl hatte, sich außerhalb seines Körpers zu bewegen und in sich den Wunsch spürte, in diesem Zustand nach Hause zurückzukehren. Dort sah er seine Frau in Gesellschaft eines anderen Mannes. Die von ihm dann eingeleiteten Ermittlungen ergaben, daß seine Gattin tatsächlich seine Abwesenheit zu Rendezvous benutzte. Durch diese merkwürdige "Geisterreise" in seine Wohnung war er den Vorgängen auf die Spur gekommen. Das gab er auch später vor Gericht ausdrücklich zu Protokoll.<sup>23</sup>

Lastly, all individual, or partial aspects of the accompanying functions of double existence, but predominantly submissiveness, dissimilarity, aggression, fear, flight, and loathing, can represent phases of conflict. A few examples may suffice in this instance, because the problem has been discussed partly in Chapter II as well as in Chapter IV. A typical phase of conflict with a totally dissimilar self occurs in Melville's Bartleby, the Scrivener in which Bartleby is a most ghostly and uncanny alter ego of the fictional narrator. During the course of events,





Bartleby loses more and more of his physical properties to a point where he leads the life of a spectre, looking out of the window all day and spending even the nights at the law office, eating, dressing, sleeping there ("without plate, mirror, or bed"): "And here Bartleby makes his home: sole spectator of a solitude which he has seen all populous . . . ." As a phase of conflict, dissimilarity increases step by step: at first Bartleby is readily identified as a human being, an employee, a scrivener, a person competent in certain areas of the law profession; but he loses these properties one by one by refusing at first to do certain errands and later to work at all. As he cannot be evicted, he is left behind to roam the vacated premises.<sup>24</sup>

Herakles, in an example from Schwab's Die schönsten Sagen, enters the phase of aggression in conflict with his double, which aggression he projects into the statue as a motivation for his attack: "Der Held selbst aber, als er einst dorthin kam, hielt das Bild, von der Dunkelheit der Nacht getäuscht, für belebt. Seine eigene Heldengebärde erschien ihm als das Drohen eines Feindes, er griff zu einem Stein und zerschmetterte so das schöne Denkmal . . ."<sup>25</sup>

An example for fear and flight as a phase of conflict is the melodramatic chase in der Student von Prag: Balduin, persecuted by his mirror image, "flieht gehetzt durch Gassen und Straßen, über Wall und Graben, durch Wiese und Wald: endlich begegnet er einem Wagen, wirft sich hinein und spornt den Kutscher zur höchsten Eile an. Nach einer längeren Fahrt in rasendem Tempo glaubt er sich geborgen, steigt aus und will den Kutscher entlohnen--da erkennt er in ihm sein Spiegelbild."<sup>26</sup> On goes the





hunt, the double pursuing Balduin to his home, where a final confrontation takes place.

While phases of conflict are in most cases transitory, the double-ganger moving from one phase to the next until a solution is reached, the features of conflict are either repetitive during one single event or they dominate the entire relationship during double existence. Since almost any property or quality of double existence can become a feature of doubleganger conflict, four typical examples may suffice here to clarify this point.

A very frequent, even popular, feature of conflict in doubleganger is the "unhappy consciousness." It will be remembered from brief discussions in Chapters II and IV (pp. 104-8 and pp. 186-7, respectively) that das unglückliche Bewußtsein is, in Hegel's view of the mind-process, a phase of scepticism in which self-consciousness has not as yet found itself, is not yet in harmony with itself, but rather still exists in a state of confusion. The notable characteristic of this confusion is that the mind is divided in two consciousnesses, or dominated by a double consciousness which exists "for itself" with no reference to the outside world by way of another consciousness.

The dilemma of this existence für sich begins in the relation of lordship and bondage where the bondsman acquires this Fürsichsein as an illusion of freedom, an illusion because, as Hegel puts it, "der eigene Sinn ist Eigensinn, eine Freiheit, welche noch innerhalb der Knechtschaft stehen bleibt."<sup>27</sup> The next step in the direction of freedom für sich is the phase of Stoicism, a form of freedom of self-consciousness in which consciousness is a thinking





being and for this thinking being only that is of essence in which it can be identified as a thinking being. The content of such freedom is only freedom of thought: since it has no fulfillment in life it has no real freedom. This form of Fürsichsein of content-less thought leads then to the phase of Scepticism in which consciousness, instead of becoming reconciled with itself (ein sichselbstgleiches Bewußtsein), falls into a state of utter confusion. "Dies Bewußtsein ist also diese bewußtlose Fäselei, von dem einen Extreme des sichselbstgleichen Selbstbewußtseins zum andern des zufälligen, verworrenen und verwirrenden Bewußtseins hinüber and herüberzugehen."<sup>28</sup>

The point which Hegel makes in this quite esoteric section of the Phenomenology of Mind is that by constantly neglecting and negating the outside world (including the other consciousness) the individual is thrown back upon himself for self-identification and thus begins intellectually to live double: for himself and against himself. By attempting to exist für sich, the individual falls asunder; and since reassurance of this Fürsichsein can only be achieved in referring to the "other self," the split is constantly reinforced.

The quintessence of this philosophical position is that the alienation of the individual in society happens in precisely this manner. The more the individual withdraws from the outside world, the more he tries "to be himself" rather than playing a participating rôle in a sound community, the more he is forced into self-denial which can only express itself in a schizoid form,<sup>29</sup> and eventually, in a double existence.





It can easily be recognized now why the unhappy consciousness is the dominating feature of conflict in Dostoevski's Двойник. Mr. Golyadkin's carefree attitude toward the world around him begins in a very harmless way. In the first situation he debates with himself whether or not to recognize and greet his head of department in the street, in the second, how best to display his "independence" vis-à-vis his physician.<sup>30</sup> But already in these instances, when attempting to justify his negation of the outside world Mr. Golyadkin cannot avoid an outspoken self-denial in the argument. By attempting to exist für sich he experiences the onset of a double existence.

Поклониться иль нет? Отозваться иль нет?  
Признаться иль нет?--думал в неописанной тоске  
наш герой,--или прикинуться, что не я, а  
что кто-то другой, разительно схожий со мною  
и смотреть как ни в чем не бывало? Именно  
не я, не я, да и только!--говорил господин  
Голядкин, снимая шляпу пред Андреем Филип-  
повичем и не сводя с него глаз.--Я, я ничего,--  
шептал он через силу,--я совсем ничего, это  
вовсе не я, Андрей Филиппович, это вовсе не  
я, не я, да и только.<sup>31</sup>

Golyadkin's insistence that he is of concern to no one, that he is, so to speak, nobody's business, is expressed in a phrase (я ничего) which literally renders his nothingness.





That this argument prevails when the "Other Mr. Golyadkin" finally makes his appearance is an indication that Golyadkin's unglückliches Bewußtsein is the dominating feature of conflict. Upon his first confrontation with the--at first vaguely identified--double Golyadkin's reaction is,

что он, Голядкин, сам по себе, что он ничего,  
что дорога для всех довольно широкая и что ведь  
он, Голядкин, сам никого не затрогивает.<sup>35</sup>

The autosite-parasite relationship becomes a dominating feature of conflict in Jean Paul's Die Doppeltgänger, and during the course of events usurpation turns out to be a concomitant feature. The Gebrüder Mensch (Mensch being their family name) are Koppelzwillinge: joined back to back they live in one unit. Their individual names are Peter and Seraph; the former is a trustworthy and vigilant person, the latter, "von Natur ein schlimmer Vogel, ein Tragikus, Lyrikus, Fagotist, Epigrammatist und Genie wie nur wenige." This carefree artist is, in matters of education, a constant parasite and makes his advances from grade to grade "on Peter's back:" "niemand konnt' ihn absägen und auf seine eigne Bank hinabtreiben."<sup>36</sup> Seraph's parasitical nature goes farther than that, however. While Peter holds the respectable position of a district judge, the artist is without trade. Seraph, reports Peter, "sei kein Wirtschafter, er poche darauf, daß er an ihn festgewachsen sei und so gut müsse gepflegt werden als ein Bein oder ein Arm von Peter; ja er drohe oft, sich todzuschießen, damit Peter das Amputieren hätte . . . ." <sup>37</sup>

Their modus vivendi is an alternation of government from day to day as instituted by parental decree. Failing to comply with this





daily change of rule, or attempting revolution, will be fined heavily by deductions from the estate. Thus forced to discipline and obedience, the respective parasites seek more refined means of usurpation: the artist drinks while the jurist is at court, thus incapacitating him against his will, for Peter seems more affected by intoxication than Seraph. On the other hand Seraph, when his day of rule has come, is constantly subject to Peter's sober and unartistic resistance. Peter, Seraph complains now, would rather chew nightingale tongues than listen to them and would ridicule him prosaically rather than in genuine satire.

It will be recognized that the continuing change of rule is itself perpetuated usurpation and that the instituted exchange of rôles alleviates the conflict only by degrees. Seraph's threat to shoot himself is therefore not accidental, for in the solution of a conflict which features usurpation fratricide-suicide is a distinct possibility.

Very closely related to the autosite-parasite relationship is the function of dominance-submissiveness. An example in which this function becomes the prevailing feature of conflict in double-ganger is Gautier's Le Chevalier double. When Oluf is born, it turns out he will live "under two stars:" ". . . deux influences ont présidé à la naissance d'Oluf . . . l'une bonne, l'autre mauvaise; c'est pourquoi il a une étoile verte et une étoile rouge. Il est soumis à un double ascendant; il sera très-heureux ou très-malheureux, je ne sais lequel; peut-être tous les deux à la fois."<sup>38</sup> What happens, though, is that Oluf becomes subject





to the dominance of each star on alternating days: "un jour il est bon comme un ange, un autre jour il est méchant comme un diable . . ."39

This precarious inégalité prevents Oluf again and again from finding happiness in love with women; but when he meets Brenda, a transition takes place in which the constant exchange of rôles results in a dédoublement. The young hostess enquires why the knight came riding all the way with a companion. Was he afraid to pass through the forest alone? "De quel compagnon voulez-vous parler, fleur de mon âme . . . ? Du chevalier à l'étoile rouge que vous menez toujours avec vous."40

Although the constitution of doubleganger has now changed, dominance-submissiveness remains the dominating feature of conflict. This can be best observed in the ensuing confrontation and combat between the two knights, the outcome of which is equal to a decision on which star is to dominate Oluf's fate in the future.

Another quite frequent feature of conflict is temptation. In Spiegelmensch both the quality of temptation as well as the rôle of the tempter change continually. Yet temptation is the leit-motif throughout the three parts of the play; it is temptation which makes this pair of doubleganger "tick." The first stage is a Faustian temptation: Spiegelmensch lures Thamal with power, fame, and creative accomplishment (Macht, Ruhm, Werk).41 The second stage is temptation to attain "wealth and freedom," to be accomplished by parricide; again Spiegelmensch is the tempter.42 Although in a third stage Spiegelmensch once more appears





as the prompter, it is soon obvious that this time the temptation originates with Thamal: he seduces Ampheh, Dschalifar's lovely bride, but is in turn persuaded by Spiegelmensch to abandon her.<sup>43</sup> This pattern continues throughout the first two parts of the play until in part III the rôle of the tempter is reversed because Spiegelmensch loses all power over Thamal.

Other prominent features of conflict are hallucination, madness, insanity and folly. These have been discussed in connection with properties of the double, and accompanying functions of double-ganger, but it is not difficult to see how an entire conflict pattern may be dominated by any one of these features.

The most prominent agents of conflict have been mentioned before: erotic frustration and incestuous jealousy. It is clear at once that these two factors are the most universal expressions of a variety of possibilities; "frustration" must be understood in this context in its most general connotation, i.e., as failure of accomplishment, while the meaning of incestuous jealousy is intended to convey the same quality, namely, the failure of accomplishing incest. This latter phenomenon will be discussed more elaborately in connection with solutions of conflict. A few examples of "frustration" as an agent of conflict may therefore suffice here to elucidate the point.

The double Knight's unhappy affairs with women have been briefly mentioned. Brenda, too, refuses Oluf: "je ne puis être la femme de deux hommes à la fois."<sup>44</sup> In Peter Schlemihl the argument is not that Peter is "double" as in this case (though it is understood that the loss of his shadow signifies a dédoublément), but





that he is, so to speak, "half." There are two garden scenes of importance in this respect, one in which Fanny sees only her shadow when the moon rises behind the clouds,<sup>45</sup> the other, also at night in Minna's company, in which Peter's shadowlessness is not revealed, to be sure, but which is so entirely dominated by the dread of discovery that the result is similarly unhappy.<sup>46</sup> The end of the first garden scene sees Fanny fainting and Schlemihl fleeing the party. The repercussions of the second scene come a little later when Peter is betrayed and Mina argues she has known for some time that he was without shadow.<sup>47</sup> In both cases, the conflict of double existence is aggravated by the unhappy outcome of a love-affair.

Other cases of "shadowlessness" and frustration are Der Student von Prag<sup>48</sup> and Die Geschichte vom verlornen Spiegelbilde.<sup>49</sup> An interesting parallel to the garden scenes in Schlemihl is the graveyard rendezvous in Der Student von Prag, which takes place in bright moonlight. But the countess, whom Balduin is just about to kiss for the first time, is not frightened by the discovery of his missing shadow but the uncanny apparition of Balduin's double behind one of the tombstones.<sup>50</sup> The countess Margit flees in horror and Balduin, who from then on is refused admission to her home, secretly enters her room where he finds her ready to forgive him and they kiss for the first time. At that point, however, she discovers that his image is missing beside hers in the mirror, and the grinning apparition of his double in the doorway causes her to faint.<sup>51</sup>

In Hoffmann's tale of the missing mirror image conflict and





dédoublement coincide. The emancipation of Erasmus' Spiegelbild to independence comes as a direct result of amorous frustration. Erasmus' attempts to possess Giulietta are a series of romantic failures. When he has finally decided to leave her and return faithfully to his wife, Giulietta is suddenly willing. In front of a mirror, and after pleading in vain that he remain with her, Giulietta begs Erasmus at least to leave her his mirror image. After some hesitation Erasmus is persuaded, the image leaves the mirror and merges with Giulietta, while our hero faints, then awakes and flees in horror.<sup>52</sup>

In Avatar, which will be discussed in more detail shortly, young Octave de Saville's unfulfilled desire for the countess Labinska is the direct cause of the ensuing exchange of souls and double existence. But it is this very double existence which frustrates Octave's plans to possess the countess although he appears to her in her husband's body, and which intensifies the conflict to the point of combat between the strange doubleganger.<sup>53</sup>

As in Avatar, the double interferes actively to prevent the hero's love affair in Edgar Allan Poe's William Wilson. "Wilson," William's whispering double, lures him away from the beautiful wife of Di Broglio during a Roman Carnival, and this interference indeed leads directly to the self-destructive solution of that doubleganger conflict.<sup>54</sup>

It is during the phase of its solution that the agents of double-ganger conflict attain their most intense activity. Reflections are no longer just being gazed at, admired, or loathed. The shadow is no longer just subject to, or participant in, a mono-





logical dialogue with his self. The interaction of doubleganger is no longer limited to the skirmishing of a playful and malicious intrigue. Mirrors are smashed, images shattered, the twin's self shot at, stabbed at, torn to pieces, and set afire.

The solution of doubleganger conflict can best be described by its most elementary components: reconciliation of opponent forces and dematerialization of the double or of doubleganger. A dematerialization of the double will mean a return to one single existence, a dematerialization of doubleganger will lead to non-existence and extinction. The "elimination" of the double is therefore possible in a constructive as well as in a destructive way, and the polar results of these modes of elimination are the existence of one single self or the total extinction of doubleganger.<sup>55</sup>

The constructive and destructive tendencies of the solution of conflict can be observed very clearly in the following two types of motifs. In the first a hare shows a lion, or a man shows a demon or ghost, his or its reflection and thus frightens it or him away.<sup>55</sup> The hare would make a point in telling the lion that this animal is threatening to kill him. In the second group the confronted self will not flee but attack: a dragon attacks the image of himself in a mirror; a man throws a stone at his own image in the water.<sup>57</sup>

Now although the outcome of both cases seems to be the return to one single existence, the fact must be recognized that the second group, though representing token-combat, is potential self-annihilation, as will indeed be shown in more subtle com-





positions of the same type. The phases of (attraction-)flight and (attraction-)aggression represent, therefore, opposite solutions of conflict in doubleganger. In this way, all cases of conflict solution in doubleganger are either a return to a "normal" state of "singleness" or the last step toward dissolution. There are only few conflicts which are solved by a compromise between these two alternatives.

The "constructive" solution and subsequent return to singleness can be generally recognized by the avoidance of a final showdown between the antagonistic forces. The most simple variety of this case is that the double mysteriously vanishes. In Malamud's recent novel The Pictures of Fidelman Susskind, Fidelman's double, disappears in this fashion, when Fidelman chases him literally out of the story.<sup>58</sup> It is a common feature, however, that the double's disappearance matches the pattern of his appearance. In many cases the double vanishes by employing the mechanics of the phase of conflict during which he entered. Metamorphosis and its varieties is a prominent example in this respect.

The metamorphosis of Raoul Cérusier to Roland Gontran in La belle image has created a situation in which the "new self" must constantly take measures to ensure the continued existence of the "old self" in order to survive himself at all. The return from this double existence to a single self takes place, logically, by a second metamorphosis in which the hero, like Zwerg Nase in Hauff's märchen, is "changed back." This transformation accomplished, all problems, trivial or existential, seem to have dissolved at one blow, and the hero lives happily ever after.





A slight variant of this gestaltentausch is the exchange of rôles, names and personalities of the twin-like John and Jean de Gué, in Daphne du Maurier's The Scapegoat. Symbolic of a quite complicated pattern of exchanges in this case is the phase of kleidertausch (exchange of clothes) which, accomplished, places the hero (John) in the rôle of a new personality (Jean's).<sup>59</sup> In this story, too, the avoidance of a final showdown is a very prominent feature. This is remarkable because there are several instances where a fatal outcome of an initial scuffle seems unavoidable. Yet in the end, John's return to "single existence" is achieved by way of kleidertausch,<sup>60</sup> after which "the shadow of Jean de Gué . . . vanished."<sup>61</sup>

Metamorphosis is also responsible for the double existence of Beerbohm's happy hypocrite, though Lord Hell's acquisition of a mask does not exactly look like gestaltentausch right away. But when the Lord assures Mr. Aeneas that he must wear it until he dies,<sup>62</sup> it is clear that the mask is to bring about a change of personality. Yet simultaneously with the creation of "Lord Heaven" the old personality of George Hell prevails, not only for the reader, but most important, for his jealous former mistress. The interesting part of the Lord's return to single existence lies in the fact that the unmasking--like the masking--is accompanied by metamorphosis. Unmasking reveals that the Lord's face has acquired the exact features of the mask and his personality its praised properties. As we have seen, the double vanishes like wax melting in the sun.

The solution of Joseph Conrad's The Secret Sharer is of a different





nature, though here, too, the double goes as he comes. The phase of conflict being solitude, Leggat appears in solitude, shares the captain's solitude and vanishes alone in secrecy. "My double," as the captain refers to him repeatedly, emerges from "the darkling glassy shimmer of the sea"<sup>63</sup> to share the captain's cabin and bed and to roam the ship, concealed from the rest of the crew. The conflict is intangible and eery. But the emotional tension between hero and double is continually felt, to a point where a final showdown seems irrevocable. Yet the clash does not come; the double submerges beneath "the shadowy water," "the glassy smoothness of the sleeping surface," as secretly as he has come.<sup>64</sup>

A curious compromise in the solution of doubleganger conflict is reached in Gautier's Avatar. In this case indeed the doubleganger do not avoid combat but seek it. However, once the phase of combat has begun, there ensues no execution of the fight: they break off the duel at the stage of skirmish, each for fear of self-annihilation.

A unique form of gestaltentausch is the first phase of conflict in this instance. Octave de Saville and the count Olaf Labinski are subjected to an "exchange of souls," which the former desires and the latter is unaware of, to enable Octave to conquer the countess Labinska in the disguise of her husband's body. The complications which arise lead up to the challenge and the duel. But at this point the strange doubleganger realize that the death of each one of them would be a form of self-slaughter for both: "Le combat se compliquait d'une sorte de suicide non prévue, et,





quoique brave tous deux, Octave et le comte éprouvaient une instinctive horreur à se trouver l'épée à la main en face de leur fantômes et prêts à fondre sur eux-mêmes."<sup>65</sup>

After a short secret discussion, both decide to break off the duel and to subject themselves to the procedure of being "changed back." During the course of this second metamorphosis, however, which should restore the "normal state of singleness," the soul of Octave, unlike that of the count which returns to its proper domicile, refuses, once freed, to take up residence in its "old prison," and leaves the torpid body of Octave de Saville lifeless. The hero of the story, Octave de Saville, continues thus to exist "double," all the more so since his body is subsequently inhabited by a new soul, namely, that of the Dr. Balthazar Cherbonneau, who takes advantage of the situation to acquire a younger frame.

The quintessence of this compromise is that a double existence prevails, while a return to single existence was also effected. Avoiding the showdown prevented total annihilation of the pair and a subsequent transformation did not, to be sure, restore the old order, but solved the conflict in a constructive, rather than destructive way.

The "destructive" solution of conflict begins with mock-attack, token combat and attempted usurpation. The most innocent and harmless play with the double already develops grave implications of dissolution. In Jenseits des Lustprinzips Freud reports about a child who, at the age of one and a half years, played at lost and found, in such a way that all objects available to him were used only to play this game. He hid these objects in various





ways giving vent to a loud, long-drawn-out 'o-o-o-o' ("fort") when the thing had gone. He then proceeded to recover the object, hailing its reappearance with a joyful "da."<sup>66</sup> A footnote which the author adds for further explanation and the comments of R.D. Laing on this footnote are of vital interest to our present argument. Freud writes: "Als eines Tages die Mutter über viele Stunden abwesend gewesen war, wurde sie beim Wiederkommen mit der Mitteilung begrüßt: Bebi o-o-o-o!, die zunächst unverständlich blieb. Es ergab sich aber bald, daß das Kind während dieses langen Alleinseins ein Mittel gefunden hatte, sich selbst verschwinden zu lassen. Es hatte sein Bild in dem fast bis zum Boden reichenden Standspiegel entdeckt und sich dann niedergekauert, so daß das Spiegelbild fort war."<sup>67</sup>

The first part of Laing's analysis establishes the child's double existence, with a hint at the ensuing conflict of doubleganger.

. . . what this boy was achieving by his game suggests that he was able, as Freud presumes, to make himself disappear by not being able to see his reflection in the mirror. That is to say, if he could not see himself there, he himself would be 'gone;' thus he was employing a schizoid presupposition by the help of the mirror, whereby there were two 'hims,' one there and the other here. That is to say, in overcoming or attempting to overcome the loss or absence of the real other in whose eyes he lived and moved and had his being [i.e. his mother], he becomes another person to himself, who could look at him from[!]the mirror.<sup>68</sup>

At this stage, if called upon to classify the situation as a solution of conflict, one would be inclined to compare it with





the type of motif in which the hero was seen to flee, or to avoid confrontation with, his image rather than attacking it. Important in this type of solution was the survival of one single self. The startling fact in this case is, however, that in Laing's analysis the act of disappearance is likened to suicide. "In the game of this little boy, he, in the position of the person who was perceiving him, that is, his mother, was in a sense killing himself in a magical way: he was killing the mirror image of himself."

In the same connection, R.D. Laing gives another example of the same phenomenon. "The mirror game can have peculiar variants. The manifest onset of a man's illness occurred when he looked into a mirror and saw someone else there (in fact, his own reflection): 'him.' 'He' was to be his persecutor in a paranoid psychosis. 'He' (i.e. 'him') was the instigator of a plot to kill him (i.e. the patient) and he (the patient) was determined to 'put a bullet through "him"' (his alienated self)."<sup>69</sup> This line of inquiry, then, places the little boy in the position of attempting a token combat to eliminate the double.

The attack on the mirror or the flight from it are both suicidal. We have seen that attraction-aggression and attraction-flight are one and the same function. We have also seen that in a more complex plot, the lion does not simply flee the image, frightened by it, but is attracted again and again to return, until "flight" turns into "aggression." The hero's threat at speculum is then an answer to the threat which the mirror emits (the hare telling the lion that this animal threatens to kill him). Thus, the lion in





Döblin's Hamlet, who jumps at his image in the water, and the dragon who attacks his image in the mirror solve the conflict in the same way, namely, by self-destruction.

A spectacularly symbolic act, indicating both flight from the mirror as well as an attack on it, presents itself in the suicidal attempt of a katatonic schizophrenic. ". . . one of our patients who had been going about as usual, and had actually been in town with his mother, and had seemed rather better, suddenly got up early one morning and made a dive through a window two stories high."<sup>70</sup>

The factual outcome of this attack clearly resembles the mechanics of reflection, with fenestra as a modified literary reality of speculum throwing back the hero's mutilated live image.<sup>71</sup> "The continuation of the case places the act in the class of a token combat with clear traces of self-destruction. Yet part of the symbolism which is immanent in this gesture is reflection: The frames were of iron, so that he was not successful in precipitating himself, but the violence of the attack was so great that he broke his collarbone and had numerous cuts about his face and arms."<sup>72</sup> This "dive" through the window is flight from the mirror by going in and through it, and "out of" what it reflected. Yet, it is also attack and destruction, resembling the lion's leap at his image.

Mock-attack and token violence are features of conflict which point to the anticipated solution. In Saddle the Wind (1958), a Hollywood Western,<sup>73</sup> there is a scene in which the young protagonist points his revolver at his image in a pond, and shoots





at it. By this token a solution of doubleganger conflict, should such a conflict arise, can be predicted accurately, as shall be shortly demonstrated. Dorian Gray's crushing the mirror "into silver splinters" is a symbolic anticipation of his dissolution, or, rather, the dissolution of his double existence.

Token combat, mock-attack, in short, symbolic attempts at eliminating the "Other One" can take on many forms and are generally justified by as many various motivations. A universal description of the sum of such motivations is given successfully in R.D.

Laing's The Divided Self.

If the whole of the individual's being cannot be defended, the individual retracts his line of defence . . . . He is prepared to write off everything he is, except his 'self.' But the tragic paradox is that the more the self is defended in this way, the more it is destroyed. The apparent eventual destruction and dissolution of these [se]lf in schizophrenic conditions is accomplished not by external attacks from the enemy . . . but by the devastation caused by the inner defensive manoeuvres themselves.<sup>74</sup>

and,

It is the ultimate and most paradoxically absurd possible defence, beyond which magic defences can go no further. And it, in one or other of its forms, is the basic defence . . . in every form of psychosis. It can be stated in its most general form as: the denial of being, as a means of preserving being. The schizophrenic feels he has killed his 'self,' and this appears to be in order to avoid being killed. He is dead, in order to remain alive.<sup>75</sup>





The actual solution of doubleganger conflict will take on its most violent form when one of the agents of such conflict is incestuous jealousy. In these cases, the conclusion of the combat-phase is often parricide or fratricide (father or brother or twin playing the rôle of alter ego), whereby suicide can be interpreted as a sublimated, or cultured, variation of the former solutions.<sup>76</sup> The double existence of the hero as father and son is exemplary in Historia Albani martyris in which Albanus is the offspring of an incestuous liaison between father and daughter. Albanus, who is raised abroad, is then wedded with his own mother, who is also his sister, by his own father. When the true relation of all participants is discovered, the three do penance in solitude for seven years, each on its own. They meet again, and the father renews his liaison with his daughter. The son, looking on, slays both.<sup>77</sup>

The unity of mother-sister and the repeated possession of her by father-son-father makes the split in hero and double obvious. The incestuous plot bears close resemblance to that phase in the variety of Brudermärchen, during which the second twin arrives at court when the hero is believed dead,<sup>78</sup> and in the course of events "sleeps with" his brother's wife: "Er muß natürlich alle Pflichten seines Bruders übernehmen und infolgedessen auch bei seiner Schwägerin schlafen. Da der vornehmen Haltung unseres Märchens ein Ehebruch nicht zusagen würde, ist hier das Schwertmotiv, ein uraltes symbolum castitatis, eingetreten."<sup>79</sup>

It is not too difficult to see that the unsheathed sword which the twin brother places between himself and his "sister-in-law"





can well be read as a symbolum coitus, as indeed there are variations in which such coition takes place and which Ranke, for understandable reasons, calls "corruptions."<sup>80</sup> Nevertheless, after the brothers have been reunited, there ensues what Ranke terms Das Eifersuchtsmotiv: "Unterwegs erzählt der andere [i.e., the second twin] daß er bei der Schwägerin geschlafen habe. Unglücklicherweise erwähnt er die Episode vom Schwert nicht oder der andere Bruder glaubt es ihm nicht oder läßt ihn garnicht ausreden sondern tötet ihn aus Eifersucht, indem er ihm fast immer den Kopf abschlägt."

Although the motive of incestuous jealousy is latent in these cases, the violent solution of a typical doubleganger conflict is apparent. A combination of such a doubleganger-fratricide with a parricide of the Albanus type can be observed to develop in the above mentioned Saddle the Wind. The phenomenological affinity of this film's plot with the plot of Historia Albani and the Brudermärchen varieties will shortly be recognized, and this although the solution of the conflict differs in this case.

The scene mentioned above, in which the young protagonist is seen shooting at his image in a pond, occurs fairly early in the otherwise stereotype drama. By then the action itself has shifted the properties of a "hero" to the young man's paternal brother. Our "filial double," although showing extreme fondness for his brother in the latter's presence, attempts again and again to usurp his position as head of the pair, and, in the end, as the head of the family enterprise. Yet, at the same time, it is the older brother to whom are attributed, and who holds himself responsible for, all





virtues and vices his younger double performs and possesses, so that in fact he becomes the usurper by increasing the insignificance of the younger brother. This is most evident in the way in which an exchange of rôles takes place in the brothers' mutual attitude toward the bride of the younger. In the beginning, the elder brother rejects the woman, but grows fond of her to the same degree to which the owner increases his antipathy, until at last the property "bride" has changed hands, or personalities. However, the result most indicative for our present discussion is that the drama ends in fulfilling the anticipated solution. The younger brother has committed a crime for which the elder is held responsible, and holds himself responsible. As the young man can nowhere be found, his brother "knows where to find him, if he can go alone." In their final confrontation, each threatens to kill the other if he does not give in to his command, both draw, and the younger shoots at himself.

The implications in the solution of this conflict are (1) parricide and incestuous jealousy; this is motivated by the many instances of confrontation in which the elder brother assumes the rôle of the father and, at the same time, in which the bride-to-be of the younger plays an increasingly maternal part in her relationship with him. Shooting at the pond is therefore firstly, shooting at his paternal self, as indeed he threatens to do in the final showdown (it is important that he is faster at "drawing").

(2) Fratricide; this is motivated by the manifest content of the plot. In these terms, the younger brother's hatred for his elder brother as well as his resentment for the bride are irrational and





without cause, as is the exaggerated fondness of the elder brother for the younger. The final confrontation takes place in solitude, and both are ready to kill, or die by the other's hand.

(3) Suicide; the actual solution, and most obviously indicated by the mock-attack on the image in the water.

The complication of this plot is not unparalleled. A subtle version, in which parricide and fratricide are symbolically enacted in anticipation of suicide as the final solution, is The Picture of Dorian Gray. For the murder of Basil Hallward is indeed a father-murder, all the more so since Basil is the creator of "the real Dorian."<sup>81</sup> But as Basil presents Dorian with the Picture who becomes Dorian's "life," so Lord Henry presents him with a mirror to reflect at all times his unchanging artistic twin. "Often, on returning home from one of those mysterious and prolonged absences . . . he himself would creep upstairs to the locked room . . . and stand, with a mirror, in front of the portrait Basil Hallward had painted of him, looking now at the evil and ageing face on the canvas, and now at the fair young face that laughed back at him from the polished glass."<sup>82</sup>

The image of this particular mirror which Lord Henry gave him becomes the subject of Dorian's wrath, and the violent destruction of it brings to a conclusion a second phase of doubleganger combat in which Dorian kills his twin. "He took it up, as he had done on the night of horror, when he had first noted the change in the fatal picture, and with wild, tear-dimmed eyes looked into its polished shield . . . . Then he loathed his own beauty that had ruined him, and, flinging the mirror on the floor, crushed it into silver splinters beneath his heel."<sup>83</sup> Dorian's attack on the





actual Picture, which follows soon thereafter, is a second variation of fratricide, although the manifest result of the conflict solution is clearly self-slaughter.<sup>84</sup>

Cain's death is the leading topic and theme in Unamuno's Abel Sánchez. It comes as no surprise, therefore, that the solution of doubleganger conflict in this case should take on the form of fratricide. Whether Joaquín really kills Abel is a debatable point. In a way, he "lays hands on him," and it can be said that Abel dies as a result of this "attack:" "--¡Bandido! Mas al punto las soltó. Abel dió un grito llevándose las manos al pecho, suspiró un '¡me muero!,' y dió el último suspiro. Joaquín se dijo: 'El ataque de angina; yo no hay remedio. ¡Se acabó!'"<sup>85</sup>

But more, Joaquín accuses himself subsequently of having killed Abel, and if he has done so before, he identifies himself repeatedly with Cain in connection with this incident. Helena, Abel's wife, too, accuses Joaquín of murdering Abel.

The situation in Abel Sanchez is so much more complicated because of the latency of the twin brother relationship between Abel and Joaquín, the Abel-Cain identity, and the incestuous jealousy for Helena. Abel's usurpation is extenuated because Helena despises Joaquín's courtship and, seeking refuge with Abel Sanchez, almost challenges him to seduce her.<sup>86</sup> On the surface Helena is Joaquín's "cousin." But in his phantasy, particularly in the identification of his life-plot with the fate of Byron's Cain, Helena, like Cain's sister Adah, becomes the ultimate motive of conflict between the two "brothers." To be sure, Joaquín likens Adah to his wife Antonia, but the latent identity of Adah-Helena cannot be denied,





particularly in connection with Cain-Joaquin's phantasies of possessing Helena "beside the cold and inert body of Abel."<sup>87</sup>

Significantly, then, Helena's and Abel's son Abelin grows up under the influence and education of Joaquín and it is Joaquín who ultimately manoeuvres him into marrying his daughter Joaquina. But a reconciliation of opponent forces represented by Cain and Abel is shortlived, or rather, illusory. As he indicates already in his secret confessions to his daughter, Joaquín does not expect the liaison to alleviate the conflict but only to intensify it. "Pero ¿no es acaso el odio a sí mismo, a la propia sangre, el único remedio contra el odio a los demás? La Escritura dice que en el seno de Rebeca se peleaban ya Esaú y Jacob. ¿Quién sabe si un día no concebirás tú dos mellizos, el uno con mi sangre y el otro con la suya, y se pelearán y se odiarán ya desde tu seno y antes de salir al aire y a la conciencia!"<sup>88</sup>

In effect, the very fruit of that liaison which Joaquín instigated will bring about a final conflict and its solution: the child of Joaquina and Abelin gives rise to Abel's and Joaquín's last argument and final settlement. It is quite characteristic for this fratricide-suicide pattern that Joaquín does not really "go on living." He falls into a profound melancholy and dies within a year, insisting repeatedly that it was he who slew Abel.

Like attack and aggression, fear, horror and fright can be "last phases," or phases which bring the conflict to a final conclusion. It is reported of Chang and Eng that "the Siamese strangers in Carolina sometimes quarreled with each other so violently that once they begged their family physician, Dr. Joseph Hollingsworth, to





cut them apart, even if it killed them. As time went on, Chang grew more irritable and more attached to the bottle."<sup>89</sup>

But when Chang dies, he does not "kill" Eng in any physical or physiological way. Eng dies of fright. ". . . Chang died of a cerebral clot . . . . Eng probably died of fright as the distended bladder seemed to point to a profound emotional disturbance of the nervous system, the mind remaining clear until stupor came on,--a stupor which was probably syncopal (i.e., due to cerebral anemia)!"<sup>90</sup>

When the mad narrator of the Horla-diary has set his house on fire in order to murder the imprisoned Horla, fear overcomes him that his victim might still have escaped, might not be killed or might not be completely destroyed. This fear drives him to commit suicide: the Other One can only be killed by killing yourself.

"Non . . . non . . . sans aucun doute, sans aucun doute . . . il n'est pas mort . . . Alors . . . alors . . . il va donc falloir que je me tue, moi . . . !" <sup>91</sup>

Thamal, in Werfel's Spiegelmensch, employs the same method. Spiegelmensch is annihilated by Thamal's suicide. This is remarkable because Spiegelmensch has come to life by an act which is otherwise employed as a solution of conflict: the attack on the mirror. (As will be recalled, Thamal "frees" Spiegelmensch by shooting at himself in the mirror).

Where similar scenes occur in Der Student von Prag and in William Wilson, they signify the solution of conflict, i.e., the dissolution of doubleganger. Balduin's shot at his image is an act





of desperation after a series of vain attempts to flee from himself. Shooting at his double he wounds himself and dies. William's final clash with the double, although more complicated in structure, has similar results, for he too is fatally wounded by stabbing at his image.<sup>92</sup>

However, where in Spiegelmensch this pattern is used to bring the double to life, the solution of this conflict comes about in the form of a return to single existence. For like Leggat in The Secret Sharer Spiegelmensch submerges beneath the surface of the mirror; but unlike Leggat's disappearance, which signifies a new life for the captain of the ship, the return of Spiegelmensch into the mirror is a reflection of a dissolution of doubleganger as Thamal is drinking the potion.<sup>93</sup>

It was shown in Chapter IV that, apart from solitude, metamorphosis and fraternal pair as dominating media of appearance of doubleganger, all aspects of double existence which were earlier defined as properties and qualities of the double, or factors and functions associated with these, may in the process of double existence emerge as potential media of appearance or joint properties of doubleganger. Similarly, in doubleganger conflict and during the process of its solution, the sum of all aspects which in certain groups of factors constitute the individual wirkungskreise, represents the phenomenological potential from which derive the media of conflict and the qualities of doubleganger. These media of conflict, then, are modified media of appearance and in their most universal form are described by the following group of correlative components: solitude-metamorphosis-incest.

of cooperation with a number of the members of the  
Committee. Having at the same time in mind the  
fact that the Committee is not a body of experts  
it is necessary to make it clear that it is not  
to be regarded as an expert body.

However, when it is considered that the  
the body is not a body of experts, it is not  
the case of a body of experts. The body is  
not a body of experts. The body is not a  
body of experts. The body is not a body of  
experts. The body is not a body of experts.  
The body is not a body of experts. The body  
is not a body of experts. The body is not  
a body of experts. The body is not a body  
of experts. The body is not a body of  
experts. The body is not a body of experts.

It was also stated that the body is not  
a body of experts. The body is not a body  
of experts. The body is not a body of  
experts. The body is not a body of experts.  
The body is not a body of experts. The body  
is not a body of experts. The body is not  
a body of experts. The body is not a body  
of experts. The body is not a body of  
experts. The body is not a body of experts.  
The body is not a body of experts. The body  
is not a body of experts. The body is not  
a body of experts. The body is not a body  
of experts. The body is not a body of  
experts. The body is not a body of experts.

In general terms the Committee is not  
a body of experts. The body is not a body  
of experts. The body is not a body of  
experts. The body is not a body of experts.  
The body is not a body of experts. The body  
is not a body of experts. The body is not  
a body of experts. The body is not a body  
of experts. The body is not a body of  
experts. The body is not a body of experts.  
The body is not a body of experts. The body  
is not a body of experts. The body is not  
a body of experts. The body is not a body  
of experts. The body is not a body of  
experts. The body is not a body of experts.



Simultaneously, the total of joint qualities of doubleganger constitutes a pattern of conflict, in which the individual aspects deriving from properties and qualities of the double as well as from partial functions of double existence become "phases," "features," "motives," and "agents," of such a conflict. The conflict itself can then be observed in two stages, one of its evolution and one of its solution.

During the evolution of conflict, phases of conflict appear to be transitory, with the doubleganger moving from one phase to the next until a solution is approached. Features of conflict can be repetitive during one single event or they can dominate the entire relationship of doubleganger during the evolution of conflict.

Agents of conflict differ from phases and features in that they press for a solution. As the most prominent agents of conflict, erotic frustration and incestuous jealousy are universal expressions of a variety of possibilities. In principle, both must be understood as failure of accomplishment.

The solution of conflict in doubleganger ensues according to two basic principles: reconciliation of opponent forces and dematerialization of the double or of doubleganger. As has been indicated in this connection, of a variety of possible outcomes the polar results are the existence of one single self or the total extinction of the pair. The "constructive" solution and subsequent return to singleness avoids a final showdown between antagonistic forces.

The potential threat of destructive solution is signified by token combat and mock attack as characteristic motives of conflict in





doubleganger. The most prominent result of the pair's extinction is suicide.



## FOOTNOTES

<sup>1</sup>vide Chapter I, pp. 66-7.

<sup>2</sup>I have known no violent confrontation or violent solution of conflict in feminine doubleganger. A violent solution of conflict always appears to be qualified by a typically and/or mythically masculine crisis in which the pattern parricide-fratricide-suicide dominates.

<sup>3</sup>Ernst Böklen, Adam und Qain im Lichte der vergleichenden Mythenforschung, Leipzig, 1907, p. 115:

"... die Ursache der Ermordung wird bei Abel und Baldr ähnlich angegeben. Wie nämlich nach Saxo Baldr und Höd ihre Schwester Nana liebten, so gibt es auch eine jüdische-christliche Tradition, wonach Qain eifersüchtig auf Abel war, weil Adam und Ewa seine Zwillingschwester dem Bruder geben wollten." (The author gives as source Christliches Adambuch des Morgenlandes, p. 67, which was not available to me.)

<sup>4</sup>The Poetical Works of Lord Byron. Edited, with a critical memoir, by William Michael Rossetti. London, Glasgow and Edinburgh, 1891 (?), p. 338.

<sup>5</sup>Böklen, p. 115.

<sup>6</sup>Böklen, p. 114.

<sup>7</sup>Bernard Malamud, A New Life, New York, 1963, p. 299.

<sup>8</sup>Abel Sanchez, p. 710.

"[--hasn't it occurred to you that] if Cain had not killed Abel, it would have been Abel who would have ended by killing Cain?"





<sup>8</sup>(continued) (Abel Sanchez and Other Stories, p. 45).

<sup>9</sup>Shortly before Joaquín makes this self-accusation, Joaquinito enters: "'¡Abuelito! ¡Abuelito!' Joaquín se volvió: --¿A quién llamas? A qué abuelo llamas? ¿A mí? --y como el niño callara lleno de estupor ante el misterio que veía--: Vamos, di, ¿a qué abuelo? ¿A mí? --No, al abuelito Abel."

(Abel Sanchez, p. 756).

"'Grandfather, grandfather.' Joaquín turned around. He heard his own voice: 'Who are you calling? Which grandfather do you want? Is it me you want?' The child was before him now, but was stricken dumb by the mystery lying there before him. 'Come, tell me. Which grandfather were you calling? Was it me?' The boy at length replied: 'No. I was calling grandfather Abel.'"

(Abel Sanchez and Other Stories, p. 134).

<sup>10</sup>pp. 107-8 and 120-4.

<sup>11</sup>Spiegelzauber, p. 94.

<sup>12</sup>The divided Self, p. 101.

<sup>13</sup>Otto Rank, Das Inzest-Motiv in Sage und Dichtung, Leipzig, 1926, p. 283. Rank quotes from Creutzer, Fr.: Symbolik und Mythologie der alten Völker, II (1841) p. 19, which was not available to me.

<sup>14</sup>"Van een hartoechinnen die bi horen soen een kint wan dat si selve versmoerde," in: Middel nederlandse Marialegenden, pp. 372-9.

<sup>15</sup>Das Inzest-Motiv, pp. 323-4.

<sup>16</sup>Théophile Gautier, Oeuvres complètes, Vol. X, Paris, 1875, pp. 387-8.





- <sup>17</sup>Thomas Mann, Gesammelte Werke, Vol. VIII, Frankfurt (Fischer), 1960, pp. 390-1.
- <sup>18</sup>p. 397.
- <sup>19</sup>p. 409.
- <sup>20</sup>Wolfram Eberhard, Typen chinesischer Volksmärchen, FF Communications, Vol. L, No. 120, Helsinki, 1937, p. 273.
- <sup>21</sup>Bernard Malamud, The Pictures of Fidelman, New York, 1970, pp. 157-8.
- <sup>22</sup>ibid., p. 159.
- <sup>23</sup>Gert Stephan, ". . . und vor mir lag--ich selbst!" in: Wochenend, XIII (July 1963), No. 28, p. 18.
- <sup>24</sup>Herman Melville, The Works of Herman Melville, Standard Edition, 16 vols., New York, 1963, Vol. X, pp. 19-65.
- <sup>25</sup>Die schönsten Sagen des klassischen Altertums, p. 179.
- <sup>26</sup>Otto Rank, Der Doppelgänger, Leipzig, 1925, p. 10.
- <sup>27</sup>Georg Friedrich Wilhelm Hegel, Phänomenologie des Geistes, Hamburg, 1952, p. 150.
- <sup>28</sup>Phänomenologie, p. 157.
- <sup>29</sup>A striking example of this state of mind is the case of David which R.D. Laing reports in The Divided Self, p. 71: "He had grown up taking entirely for granted that what he called his 'self' and his 'personality' were two quite separate things. He had never seriously imagined any other possibility and he took it equally for granted that everyone else was constructed





<sup>29</sup>(continued) along similar lines. His view of human nature in general, based on his own experience of himself, was that everyone was an actor. It is important to realize that this was a settled conviction or assumption about human beings which governed his life. This made it very easy for him to be anything his mother wanted, because all his actions simply belonged to some part or other he was playing. If they could be said to belong to his self at all, they belonged to a 'false self', a self that acted according to her will, not his. His self was never directly revealed in and through his actions. It seemed to be the case that he had emerged from his infancy with his 'own self' on the one hand, and 'what his mother wanted him to be', his 'personality', on the other; he had started from there and made it his aim and ideal to make the split between his own self (which only he knew) and what other people could see of him, as complete as possible. He was further impelled to this course by the fact that despite himself he had always felt shy, self-conscious, and vulnerable. By always playing a part he found he could in some measure overcome his shyness, self-consciousness, and vulnerability. He found reassurance in the consideration that whatever he was doing he was not being himself. Thus, he used that same form of defence which has been already mentioned: in an effort to mitigate anxiety he aggravated the conditions that were occasioning it."

<sup>30</sup>Двойник, Chapters I and II.

<sup>31</sup>Двойник, p. 214.

"--Bow or not? Call back or not?--thought our hero in indescribable anguish.--Should I recognize him or maybe pretend that this is not I but rather someone else strikingly similar to myself, and just look as though nothing were the matter? Simply not I, not myself, that's all!--said Mr. Golyadkin, taking off his hat to Andrei Philippovich and keeping his eyes fixed on him.--I . . . I am of concern to no one,--he thought, making a mental effort,--I am nobody's business, this is simply not I,





<sup>31</sup>(continued) Andrei Philoppovich, this is simply not me, not myself, and that's all."

<sup>32</sup>" . . . that he was nobody's business, and that like everybody else, he was someone all by himself . . ." (p. 217).

<sup>33</sup>" . . . that he was someone by himself, that he was someone like everyone else . . ." (p. 245).

<sup>34</sup>" . . . I am here all by myself and on my own account, that is to say, I am nobody's business . . ." (p. 246). He argues this at a party saying that no one could want to ask for him nor would anyone want to speak to him because he was "there all by himself and on his own account" etc.

<sup>35</sup>" . . . that he, Golyadkin, was someone all by himself and that he was nobody's business, that the path was wide enough for all and that he, Golyadkin himself, was interfering with no one." (p. 252) If one sums up Golyadkin's insistence "что он ничего" on the one hand and "что он по себе" or "у себя" on the other, the result is that his existence "für sich" amounts to his being nothing, or nobody, or double in that form.

<sup>36</sup>Jean Pauls Sämtliche Werke, ed. Eduard Behrend, Weimar, 1927-, Abteilung I, 19 vols., 1927-44, Vol. VIII, Weimar, 1933, p. 246.

<sup>37</sup>p. 248.

<sup>38</sup>Théophile Gautier, Oeuvres complètes, Vol. X, Paris, 1875, p. 386.

<sup>39</sup>p. 387.

<sup>40</sup>p. 392.

<sup>41</sup>Franz Werfel, Spiegelmensch. Magische Trilogie, München, 1920, pp. 34-44.





- <sup>42</sup>Spiegelmensch, pp. 60-2.
- <sup>43</sup>Spiegelmensch, pp. 87-108.
- <sup>44</sup>Le chevalier double, p. 393.
- <sup>45</sup>Chamisso's Werke, ed. Wilhelm Rauschenbusch, Berlin, 1878, p. 26.
- <sup>46</sup>p. 36.
- <sup>47</sup>p. 39.
- <sup>48</sup>see Rank, Der Doppelgänger, pp. 8-10.
- <sup>49</sup>E.T.A. Hoffmann, Poetische Werke, Berlin, 1957, Vol. I, pp. 322-41.
- <sup>50</sup>Der Doppelgänger, p. 9.
- <sup>51</sup>ibid., p. 10.
- <sup>52</sup>"Die Geschichte vom verlornen Spiegelbilde," p. 332: "Erasmus sah, wie sein Bild unabhängig von seinen Bewegungen [aus dem Spiegel] hervortrat, wie es in Juliettas Arm glitt, wie es mit ihr im seltsamen Duft verschwand."
- <sup>53</sup>Théophile Gautier, Oeuvres complètes, Vol. X, Paris, 1875, pp. - ; hereinafter cited as Avatar.
- <sup>54</sup>William Wilson, p. 435.
- <sup>55</sup>This definition is in keeping with our observation of dissolution towards the end of Chapter III (Katherlieschen syndrome and absolute usurpation).
- <sup>56</sup>Stith Thompson, Motif-Index of Folk-Literature, Bloomington,





- 56 (continued) 1957, Vol. IV, p. 422.
- 57 Thompson, Motif-Index, Vol. IV, pp. 366 and 149, respectively.
- 58 The Pictures of Fidelman, p. 41.
- 59 Daphne du Maurier, The Scapegoat, Harmondsworth, 1957, p. 23.
- 60 *ibid.*, pp. 310-11.
- 61 *ibid.*, p. 315.
- 62 Max Beerbohm, The Happy Hypocrite, London, 1915, p. 38.
- 63 Joseph Conrad, The Secret Sharer, in: The Shadow-Line and Two Other Tales, New York, 1959, p. 126.
- 64 *ibid.*, p. 162.
- 65 Avatar, p. 119.
- 66 Sigmund Freud, Gesammelte Werke, Vol. XIII, London, 1940, p. 12.
- 67 *ibid.*, p. 13, footnote 1.
- 68 The Divided Self, pp. 116-7.
- 69 *ibid.*, p. 117-8.
- 70 Sir David Henderson and Ivor R.C. Batchelor, Henderson and Gillespie's Textbook of Psychiatry for Students and Practitioners, London, 1962, p. 279. *Italics are mine.*
- 71 The phenomenological potential of fenestra qua speculum has been repeatedly demonstrated. It is all the more obvious since the mirroring properties of both mirror and window are often





<sup>71</sup>(continued) chemically and physically of identical matter, but also because in reality, and yet more frequently in literary reality, the window, whenever it ceases to function as a window, begins to function as a mirror. We add, for further clarification, the examples of Duffy's broken office window in A New Life, with which Levin repeatedly identifies, the window in Der Frieder und das Katherlieschen, through which Katherlieschen makes the crucial inquiry about her identity (medium of reflection) and, last but not least, a case of transformation from mirror to window in the epilogue of Werfel's Spiegelmensch. Compare also Fidelman's light bulb (p. 309): its mirroring properties are a curious phenomenological combination of fenestra and speculum.

<sup>72</sup>Henderson and Gillespie's Textbook of Psychiatry, p. 279.

<sup>73</sup>Screenplay by Rod Sterling, directed by Robert Parrish, produced by Armand Deutsch for Metro-Goldwyn-Mayer. 84 min.

<sup>74</sup>The Divided Self, p. 77.

<sup>75</sup>ibid., p. 150.

<sup>76</sup>Otto Rank's interpretations in Das Inzest-Motiv in Dichtung und Sage are pertinent examples: "Ziehen wir im Vergleich mit dem deutschen Märchen [Grimm No. 60 and its variants] und seinen bedeutsamen Parallelen das ähnlich gestaltete ägyptische Brudermärchen von Bitiu und Anepu und die zugrunde liegende Osiris-Sage heran, so ergibt sich die ursprünglich feindselige Rivalität der Brüder um die Liebe der Schwester, die mit der Beseitigung des inzestschuldigen Bruders durch den Nebenbuhler, der sich als Rächer aufspielt, endet . . . . In diesem abgeblaßten und schattenhaften, schwachen und sterblichen Zwillingsbruder erkennen wir aber nicht nur, im Sinne der beiden Urmotive, den . . . von der Konkurrentenschaft (um die Schwester) ausgeschalteten Bruder, sondern es wird uns hier eine andere merkwürdige Wurzel des Zwillingsmotivs vom Verständnis des 'Mythus





76

(continued) von der Geburt des Helden' aus zugänglich." Rank goes on to cite Ehrenreich (Die allgemeine Mythologie und ihre ethnologischen Grundlagen, Leipzig, 1910, p. 239) as having provided "the key to the understanding of twin legends:" ". . . daß nur einer der Brüder göttliche Qualitäten hat, während der andere rein menschlich gedacht ist. Sein Vater ist ein Mensch, der die gottbefruchtete Mutter zum zweiten Male schwängert (vgl. Herakles-Sage). Demgemäß hat dieser zweite Sohn schwächeren Charakter und menschliche Unvollkommenheiten. Das Motiv erscheint auch in der Form, daß der zweite aus der weggeworfenen Nachgeburt des ersten entsteht. Dieser 'Nachgeburtsknabe' ist eine der häufigsten Sagenfiguren der Prärieindianer. Interessant ist in diesem Zusammenhang die afrikanische Vorstellung, daß die Nachgeburt ein Bruder, ein alter ego der Frucht ist, daher das Kind den Nabelschnurrest zeitlebens bewahren muß, mit dem seine Seele oder Lebenskraft in mythischer Beziehung steht." He interprets: "Auch dies möchten wir, gleichwie den häufigen Zug, daß die Zwillingsbrüder schon im Mutterleib Feinde waren, im Sinne einer primären Konkurrenz der Brüder um die Mutter (später Schwester) deuten . . . ." (pp. 429-431).

Rank's argument that the latent motive of conflict between the brothers in Klinger's Zwillinge is incest (pp. 472-3) can be supported by Guelfo's repeated identification with Cain (II, ii and IV, v) and Esau (II, ii) combined with his proclamation that Kamilla is his sister: "Willkommen, meine Schwester! Tausendmal willkommen, meine Schwester! Meiner Liebe willkommen, meine Kamilla! O so schwebe vor mir! so mache mich lebendig!--Laß mich fühlen in diesem Kuß alles Entzücken der Liebe und alle Marter! Willkommen, meine Schwester!" (II, v).

77 I have related in abbreviated form, the account given by Rank, in Das Inzest-Motiv, p. 329.

78 Otto Rank in Das Inzest-Motiv again refers to the latency of incest in the plot, in which a double fratricide has remained





<sup>78</sup>(continued) as a manifest indication "daß dieses ursprüngliche Motiv des Zwillingsbrüderpaares in den zahlreichen Brüdermärchen weiterlebt, in denen die Rivalität um das Weib (die Schwester=Mutter) bedeutungsvoll anklingt." (p. 425).

<sup>79</sup>Kurt Ranke, Die zwei Brüder. Eine Studie zur vergleichenden Märchenforschung, FF Communications, Vol. XLIV, No. 114, Helsinki, 1934, p. 287.

<sup>80</sup>Die zwei Brüder, p. 288: "Eine Ausnahme macht Let 45, in der er bei ihr schläft und sie ein Kind von ihm empfängt. Aber sein Bruder und die Frau leben später trotzdem glücklich zusammen." And, "In einigen Varianten, die auf Entstellung beruhen, heiratet er sie . . ."

<sup>81</sup>The Picture of Dorian Gray, pp. 35 and 37.

<sup>82</sup>ibid., p. 143.

<sup>83</sup>ibid., p. 244.

<sup>84</sup>ibid., pp. 247-8.

<sup>85</sup>Abel Sanchez, p. 756.

"You thief!" he shrieked. He had scarce laid hands on the victim before he drew back in horror. Abel gave a cry, clapped his hands to his chest, and murmured, "I'm dying!" "An angina attack," thought Joaquín, "there's nothing to be done. It's the end!"

(Abel Sanchez and Other Stories, p. 134).

<sup>86</sup>Abel Sanchez, end of Chapter II (pp. 693-4).

<sup>87</sup>Abel Sanchez, Chapter III.





<sup>88</sup>Abel Sanchez, p. 742.

"Still, I thought, isn't hatred toward oneself, toward one's very blood brother, the only remedy against hating others? The Scripture says that Esau and Jacob were already fighting in the womb of Rebecca. Who knows but that some day you will conceive twins, one with my blood and the other with his and that they will hate each other and fight, beginning in your womb, before coming out into the air and into consciousness.

(Abel Sanchez and Other Stories, pp. 105-6).

<sup>89</sup>"Never Alone at Last," American Heritage, XIII (August 1962) p. 31. Italics are mine.

<sup>90</sup>*ibid.*, p. 108.

<sup>91</sup>Le Horla, p.

<sup>92</sup>William Wilson, p. 436.

<sup>93</sup>Spiegelmensch, p. 216.





## CONCLUSION

The objective of this thesis was to arrive at a systematic description and one which would prove universally valid. In reviewing a number of the more important contributions which have hitherto dealt with doubleganger in some form it could be observed that a universal description dealing with all aspects of the phenomenon has so far not been achieved. In some cases this was clearly not intended, in others it did not seem possible. It was this writer's contention that the principal reason for the failure to accomplish a universal description which would account for all potential and possible features and functions of double existence is what he termed a "bias of perspective." This bias indicates the restricted area of comprehension and interpretation by which a topic is necessarily circumscribed when it is studied from the point of view of a certain "discipline" or a combination of disciplines. A phenomenological study did not seem to impose such restriction. It offered itself as an approach which would comply with the universality of the phenomenon. It was therefore decided to forgo the impediment of "discipline" and thus to reduce the bias of perspective to the phenomenon of doubleganger.

The analysis of the phenomenon of doubleganger began with simple representations of hero and double and proceeded gradually to more complex forms of interexistence. During each stage of investigation an attempt was made to obtain a description of double-





ganger which might be both universally valid and universally applicable. It was proposed at the outset of this undertaking that the confrontation of a self with his reflection as a state of double existence represents the most simple form of double-ganger. During the course of this first phase of the analysis a dualism of two descriptions was introduced to enable the observer to shift points of view in accordance with the duality of the phenomena he would describe. The phenomena of double existence in the context of reflection were then defined as "media of the self's reflection," and as "properties of the double." It was established that they exist in a group: they are phenomenological concepts which complement each other. Properly presented, shadow-reflection-image-hallucination-mirror-live twin should therefore be written in one word, indicating the phenomenological affinity of the individual components as well as their closeness of meaning within the context of reflection. It was further observed that "hallucination" and "shadow" may dominate in influencing the environment in which reflection takes place, in terms of darkness, night, twilight, gloom, sleep, dream, lack of substance.

Chapter II then dealt with projection. In this context the most closely associated phenomena were defined as "media of projection," and as "qualities of the double." Six prominent types of qualities were established, which are grouped in a wirkungskreis in somewhat the same manner as the properties of the double in reflection. Soul-spirit-scapegoat-tempter-conscience-unhappy consciousness thus indicate, or signify, any possible aspect of





medium or double in projection, from verbal representation to personified characteristic. Because the types involved in projection are of qualitative nature, they do not immediately indicate the double's external status. As a matter of course, accompanying aspects derive from the six qualities of the wirkungskreis, which will indicate, by way of attire and habit, the bearing of the double. These attributes are the idiot, the dupe, the clown, the fool, the buffoon(cuckold), the monkey, the ape, the devil, and their associated characteristics. Furthermore, it is frequently observed that the unhappy consciousness commands the setting or atmosphere in projection, in terms of madness-insanity-folly as appropriate phenomenological attributes in this context. It was the task of Chapter III to define those phenomena which are vital to a continuing double existence. These functions were found to be double functions and they were called accompanying functions of double existence because as functions they are not the cause of doubleganger, but concomitant with the phenomenon. Consequently, the accompanying functions of double existence are phenomenological correlatives which appear in pairs, and which are essentially inseparable. In their most complex form of representation, they were described as a group of six closely associated concepts which complement each other in meaning and phenomenological substance. Similarity-dissimilarity, auto-site-parasite, dominance-submissiveness, recognition-non-recognition, fondness-fear (love-loathing), and attraction-flight (attraction-aggression) represent dualistic tendencies which determine the mutual appearance of doubleganger, and as tendencies they will modify the reactions and interactions of doubleganger





upon and among each other. Two sets of modified particulars were derived from the wirkungskreis of these six general types. They were understood as attributes of doubleganger which are either qualities or external features and are as such phenomenological derivatives of the autosite-parasite relationship as a dominating function. They were, respectively, the combination of vampire-intruder-usurper, and the features of dwarf, mock-up, animal monster, hunchback, freak, and dummy.

As the six accompanying functions have been described as vital to a continuing existence of doubleganger, their breaking up in any form must be understood as portraying the dissolution of the pair's existence. The various modes of terminating double existence can therefore aptly be described by the dissolution of the accompanying functions, notably of autosite-parasite and dominance-submissiveness (absolute usurpation), and of recognition-non-recognition and similarity-dissimilarity (Katherlieschen syndrome).

The discussion of "joint properties of doubleganger" and "media of appearance" was also conducted in the form of a dualism of two descriptions. A wirkungskreis of three phenomenological complements was established: solitude-metamorphosis-fraternal pair. In the context of appearance solitude was observed to follow this pattern of duality by representing the medium as well as the properties of doubleganger. Solitude as a setting or atmosphere, and singleness or oneness of personality within such a setting provokes the appearance of an Other One in literary reality. Solitude postulates the alter ego with whom the "sole self" will conduct his monólogos dialogados, or diálogos solitarios. Conversely, the self whose





development points toward doubleness frequently seeks solitude in many possible forms (e.g. withdrawal, loneliness). As the medium of a split in two of consciousness solitude shows its phenomenological affinity with unglückliches Bewußtsein. The most notable "joint property" of doubleganger is that they exist für sich, that is to say, in solitude (the Narcissus-variety portrays the pattern of this behavior). Metamorphosis and fraternal pair represent phenomenological forces which manipulate doubleganger in a similar way. Twin existence is a frequent medium of appearance. Twinship is a frequent characteristic of doubleganger. Change and exchange are universal expressions of the appearance of doubleganger. A total exchange of properties between a pair as a twoness of personality is gestaltentausch. A total change from oneness to twoness, i.e. the event of splitting in two, is transformation. Gestaltentausch and transformation are correlatives which explain the appearance of doubleganger through universal exchange and universal change, respectively. Both ultimately represent, in combined form, the universal medium of appearance of doubleganger, metamorphosis. In that sense, metamorphosis is Celui qui modifie, as it manipulates an appearance of doubleganger.

"Joint qualities of doubleganger" and "media of conflict" were discussed in Chapter V. Solitude-metamorphosis-incest are combined in a group of correlative components which express the media of conflict in their most universal form. As such, the media of conflict are modified media of appearance. In doubleganger conflict and during the process of its solution, the sum of all phenomenological forces as represented by the individual wirkungs-





kreise stipulates the phenomenological potential of joint qualities of doubleganger. The total of these qualities in each case constitutes a pattern of conflict. The individual aspects of such a pattern can be defined as phases, features, motives, and agents of conflict. The solution of conflict was observed to ensue according to two basic principles: reconciliation of opponent forces and dematerialization of the double or of doubleganger. Token combat and mock attack signify the potential threat of a destructive solution.

One of the principal efforts of this study has been to give a systematic description of what has always appeared as a very complex conglomerate of phenomenological features and characteristics. To achieve this, the many individual elements of the phenomenon were grouped in spheres, in such a way that the total could be defined in terms of certain groups of concepts or wirkungskreise with which in turn a number of functional properties could be associated. Five such spheres were established: reflection, projection, accompanying functions, appearance and conflict of doubleganger. To achieve greater accuracy in the analysis of each of these areas, reflection and projection were treated strictly as states of existence, while appearance and conflict were discussed as processes of existence, of doubleganger. In this way, each of the five areas was understood as representing a particular condition of theme within the limits of which it was possible to isolate particular characteristics and present them in the form of phenomenological groups.

In that sense, each so-called wirkungskreis represents a pheno-





menologically inseparable and inseverable unit in which the individual concepts are complements of each other. Moreover, the five areas in which these wirkungskreise were observed to operate may also be understood as levels, or modes, of existence of doubleganger. On each such level, or in each such mode, the individual factors and functions which indicate double existence attain a different phenomenological significance. For example, in the context of reflection "image" was described as a "property of the double" or a "medium of reflection;" "scapegoat," in the context of projection, was described as a "quality of the double" or a "medium of projection;" "parasite" was described as a partial representation of "autosite-parasite" within the wirkungskreis of "accompanying functions of double existence;" the "dupe" among others was understood as an accompanying aspect of "qualities of the double," or of the wirkungskreis of phenomena which represents these qualities (soul-tempter-conscience-spirit-scapegoat-unhappy consciousness). The definition, then, of all properties, qualities, functions, attributes and other characteristics was made in each case with an awareness that any of these factors might be shifted to a different mode of existence where it would signify other aspects of the phenomenon. It is conceivable, for instance, that any of the aforementioned characteristics can become a personification of the double not only in the states of reflection and projection, but also during the appearance and conflict of doubleganger. It is further possible for these characteristics to represent in combined form the personification of one half of a pair of doubleganger, or the personification of the pair.





On the other hand, individual parts of a wirkungskreis may assume, as it were, different phenomenological tasks as attributes of doubleganger existence. A prominent example is "shadow." While it may "personify" the double, or symbolize the hero's state of mind, its potential modifications as a phenomenological attribute are numerous. In a key-position "shadow" may play the rôle of the medium of reflection; as a property of the double it may simply represent "reflection," or "image;" as an attribute it may modify qualities of the double such as "soul" and "spirit;" in a scene of reflection it may appear as a verbal appendage or dominate the setting or atmosphere (darkness-night-twilight-gloom). Another prominent example is the "unhappy consciousness." Its personification by the double as well as its dominating rôle in commanding the hero's state of mind are frequent features particularly in more complex doubleganger episodes. But the unhappy consciousness, too, may often just function as a verbal appendage (Hörle: ". . . je deviens fou," "je me demande si je suis fou," "des doutes me sont venus sur ma raison . . ."); in other cases it may command the entire atmosphere or setting of double existence (madness-insanity-folly) or it may just project the mold of the double (fool-dupe-buffoon(cuckold)-clown-ape-devil); it may function as the medium of projection, and it may finally become the dominating feature in a conflict of doubleganger. The auto-site-parasite relationship presents a last notable example of the transformations of phenomenological functions in doubleganger. As personifications of this double function the doubleganger may appear in a variety of forms and shapes. The pairing of a glib hero with a villainous double of the vampire-intruder-





usurper variety is one of the more frequent combinations. As an accompanying function of double existence, the autosite-parasite relationship reflects at all times the equilibrium, or the disturbance of equilibrium, in the interexistence of doubleganger, from commensalism to absolute usurpation. In breaking up into individual halves (i.e. in ceasing to be double functions) the functions express the realization of an existential threat inherent in parasitism, namely impending annihilation of both autosite and parasite. In this form, the autosite-parasite relationship and its dissolution becomes frequently a feature of ultimate conflict in doubleganger.

It is hoped that the sum of all particulars which were thus gathered represents at least a large part of the phenomenological potential of doubleganger existence on record. In this writer's opinion a great many phenomenological forces and elements which are essential to the confrontation of hero and double, as well as to the coexistence and conflict of doubleganger, have been accounted for and have been represented in a systematic description. In this sense, the present study is the first of its kind.

While the method of this analysis includes consistent effort of avoiding interpretation in the literary-historical or the literary-critical sense of the term and of confining itself studiously to the observation and description of the phenomena in question, it is expected that the results which have been obtained by this method will be applicable especially in the interpretation of literature. For, if with the present analysis the student of literature has been presented with a complete set of categories





by means of which any pair of doubleganger can be described, this system will enable him to gain a better insight, particularly in the structural analysis of more complex double existences in works of literature.

It is conceivable that by employing the same or similar methods of analysis, different results can be obtained regarding the definition of doubleganger. However, the important contribution of this thesis is that it has attempted a complete account of all phenomenological elements which are involved where doubleganger appear, and a complete account of all potential particulars of the phenomenon. In this respect, too, our results offer a pertinent point of departure for the interpretation of a particular work of literature involving doubleganger. Furthermore, by using the present analysis as a universal description, the student of doubleganger literature will not only be able to account for the significance of all manifest characteristics in the pair, but he will also be made aware of those properties and qualities which are not immediately discernible, but may act as latent forces in the process of a particular double existence. The frequent latency of madness, usurpation and incest is an example to the point.

A critical discussion of the appearance of doubleganger in terms of cause and effect is not compatible with the nature of this analysis. Precisely what causes doubleganger to appear in literature, though explanations have been attempted, must remain very much the subject of future efforts. There can be no doubt that during the last century certain "movements" in literature





and philosophy have provided an impulse for more complex presentations of hero and double in literature. On the other hand, this century has produced a respectable amount of critical literature on the subject. It must be seriously considered to what extent such research may have provided a feedback. Naturally, the first literary critical and psychological studies of doubleganger had little more to fall back upon than examples of literature itself. Contemporary literature of that time could therefore be "influenced" only by certain trends of interpretation. The situation is now quite different in that latter-day literature may absorb not only those "traditional" motifs of doubleganger and their interpretations, but also the results of research in medicine, psychiatry, anthropology and genetics, which do not always corroborate the earlier findings of psychology and literary criticism.

The answer to what causes the appearance of a double self in a particular work of literature must in part ensue as a result of this general enquiry. That the motif in its more complex literary form is the brainchild of Romanticism and the product of psycho-analytical enlightenment should be regarded as a truism rather than a satisfactory explanation. A careful investigation of what the appearance of doubleganger leads to in a particular case must remain an essential directive.

The investigation of a variety of patterns of conflict indicates that human duplication in literary reality is a symbol of catabolism. The potential meaning of doppelgängertum, in whatever context it may appear, is one of human deterioration. This general observation holds good not only in cases where the ap-





partition of one's double before oneself or before others signifies impending death, but also in many cases where the appearance of an Other One seems beneficial, as such benevolent doubles often appear at a time of crisis and are usually confronted with a genetically, biologically, physically, philosophically, psychologically, spiritually or morally, defunct personality. In this sense, doppelgängertum cannot properly be defined as a symbiosis, because it is not a commensalism but a parasitism which threatens self-emaciation.

Finally, in its proper perspective, the phenomenon of doubleganger ought to be re-examined as a very special case of multiple personality. The imaginary author of "Traktat vom Steppenwolf" belittles Harry Haller's division in hero and double as a very crude attempt to account for the multitude of aspects which make up the total of his personality. It may well be a forgone conclusion that the existence of a self in double form is a "stylized" or "idealized" variant of a multiple personality. If this is so, the epilogue which follows is set here by way of explanation, not by way of apology.

Betrachten wir von diesem Standpunkt aus den Steppenwolf, so wird uns klar, warum er so sehr unter seiner lächerlichen Zweiheit leidet. Er glaubt, wie Faust, daß zwei Seelen für eine einzige Brust schon zuviel seien und die Brust zerreißen müßten. Sie sind aber im Gegenteil viel zu wenig, und Harry vergewaltigt seine arme Seele furchtbar, wenn er sie in einem so primitiven Bilde zu begreifen sucht. Harry verfährt, obwohl er ein hochgebildeter Mensch ist, etwa wie ein Wilder, der nicht über zwei hinaus zählen





kann. Er nennt ein Stück von sich Mensch, ein andres Wolf, und damit glaubt er schon am Ende zu sein und sich erschöpft zu haben. In den "Menschen" packt er alles Geistige, Sublimierte oder doch Kultivierte hinein, das er in sich vorfindet, und in den Wolf alles Triebhafte, Wilde und Chaotische. Aber so simpel wie in unsern Gedanken, so grob wie in unsrer armen Idiotensprache geht es im Leben nicht zu, und Harry belügt sich doppelt, wenn er diese negerhafte Wolfsmethode anwendet. Harry rechnet, so fürchten wir, ganze Provinzen seiner Seele schon zum "Menschen," die noch lange nicht Mensch sind, und rechnet Teile seines Wesens zum Wolfe, die längst über den Wolf hinaus sind. Wie alle Menschen, so glaubt auch Harry recht wohl zu wissen, was der Mensch sei, und weiß es doch durchaus nicht, obschon er es, in Träumen und anderen schwer kontrollierbaren Bewußtseinszuständen, nicht selten ahnt. Möchte er diese Ahnungen nicht vergessen, möchte er sie sich doch möglichst zu eigen machen!<sup>1</sup>





## BIBLIOGRAPHY

(Listed in the Bibliography are all works which have been cited in this thesis, except dictionaries, which are listed in the Supplementary Bibliography, because quotations from these works represent a different type of documentation. Also listed in the Supplementary Bibliography are theoretical works in the areas of literary criticism, aesthetics, poetics, methodology and theory of literature.)

Apollodorus, The Library, trans. Sir James George Frazer, 2 vols., London, 1939.

Ausführliches Lexikon der griechischen und römischen Mythologie, ed. W. H. Roscher, 6 vols., Leipzig, 1884-.

Aymé, Marcel, La belle image, Paris, 1941.

Azam, Eugène, Hypnotisme, double conscience et altérations de la personnalité, Paris, 1887.

Beerbohm, Max, The Happy Hypocrite, London, 1915.

Bellow, Saul, Dangling Man, New York (Meridian), 1964.

Böcklen, Ernst, Adam und Qain im Lichte der vergleichenden Mythenforschung, Leipzig, 1907.

Byron, George Gordon Noel, The Poetical Works of Lord Byron, ed. William Michael Rossetti, London, Glasgow and Edinburgh, 1891 (?)





Chamisso, Adalbert von, Chamisso's [sic] Werke, ed. Wilhelm Rauschenbusch, 2 vols., second edition, Berlin, 1878.

Conrad, Joseph, The Secret Sharer, The Shadow-Line and Two Other Tales, Garden City, N. Y., 1959, pp. 121-164.

Crawley, A. E., "Doubles," Encyclopedia of Religion and Ethics, ed. James Hastings, 13 vols., Edinburgh, 1908-27, pp. 853a-860a.

Dabezies, André, Visages de Faust au xx<sup>e</sup> siècle, littérature, idéologie et mythe, Paris, 1967.

Daniels J., "Never Alone at Last," American Heritage, XIII (August 1962), 28-31 and 106-8.

Dimić, Milan V., "Dvojnuk--reč i pojam," Filološki Pregled--Revue de Philologie, IV (1966), 97-120.

Döblin, Alfred, Hamlet oder die Lange Nacht nimmt ein Ende, Berlin, 1961.

Достоевский, Ф. М., Собрание сочинений, 10 vols., Москва, 1956-.

Downey, June E., "Literary Self-Projection," Psychological Review, XIX (1912), 229-311.

Dubal, Rosette, La psychanalyse du diable, Paris, 1953.

Eberhard, Wolfram, Typen chinesischer Volksmärchen, FF Communications, Vol. L, No. 120, Helsinki, 1937.

Die erlösung, ed. Karl Bartsch, Quedlinburg, 1858.

Euripides, ed. T. E. Page and W. H. D. Rouse, 4 vols., London, New York, 1912.

Frazer, Sir James George, The Golden Bough, 11 vols., third edition, London, 1911-36.

Freud, Sigmund, Gesammelte Werke, chronologisch geordnet, ed. Anna Freud et al., 17 vols., London, 1940.





Gautier, Théophile, Oeuvres complètes, 37 vols., Vol. X, Paris, 1875.

Goethe, Johann Wolfgang von, Goethes Sämtliche Werke, ed. Konrad Burdach, Wilhelm Creizenach, et al., 40 vols., Stuttgart, 1902-12.

The New Golden Bough, ed. Theodor Gaster, New York, 1959.

Die Märchen der Brüder Grimm. Vollständige Ausgabe, ed. Wilhelm Grimm, 2 vols., Leipzig, 1924.

Guerard, Albert J., "Concepts of the Double," Stories of the Double, Philadelphia, 1967, pp. 1-14.

Guiette, Robert, La légende de la sacristine, Paris, 1927.

Gusdorf, Georges, La découverte de soi, Paris, 1948.

Handwörterbuch des deutschen Aberglaubens, ed. H. Bächtold-Stäubli, 10 vols., Berlin, 1927-42.

Hegel, Georg Wilhelm Friedrich, Phänomenologie des Geistes, Hamburg, 1952.

Henderson, Sir David, and Ivor R. C. Batchelor, Henderson and Gillespie's Textbook of Psychiatry for Students and Practitioners, London, 1962.

Hesse, Hermann, Gesammelte Schriften, 7 vols., Berlin, 1958.

Hoffmann, E. T. A. Poetische Werke, ed. Klaus Kanzog, 12 vols., Berlin, 1957-.

Hultkrantz, Åke, Conceptions of the Soul Among North American Indians. A Study in Religious Ethnology, Stockholm, 1953.

Joyce, James, Ulysses, New York, 1961.

Kleist, Heinrich von, Heinrich von Kleists Werke, ed. Georg Minde-Pouet, second edition, 7 vols., Leipzig, 1936.





Konrad von Würzburg, Konrads von Würzburg goldene schmiede, ed. Wilhelm Grimm, Berlin, 1840.

Krauss, Wilhelmine, Das Doppelgängermotiv in der Romantik. Studien zum romantischen Idealismus, Berlin, 1930.

R. D. Laing, The Divided Self. An Existential Study in Sanity and Madness, Harmondsworth, 1970.

Lindberger, Örjan, The Transformations of Amphytryon, Stockholm, 1959.

Lucka, Emil, "Verdoppelungen des Ich," Preussische Jahrbücher, CXV (1904), 54-83.

Malamud, Bernard, A New Life, New York (Dell), 1963.

-----, The Pictures of Fidelman, New York (Dell), 1970.

Mann, Thomas, Gesammelte Werke, 12 vols., Frankfurt (Fischer), 1960.

Maupassant, Guy de, Oeuvres complètes, 29 vols., Paris, 1926-29.

du Maurier, Daphne, The Scapegoat, Harmondsworth, 1957.

Melville, Herman, The Works of Herman Melville, Standard Edition, 16 vols., New York, 1963.

Molière, (=Jean-Baptiste Poquelin), Oeuvres de Molière, eds. Eugène Despois and Paul Mesnard, 13 vols., Paris, 1876-1909.

Nabokov, Vladimir, Pale Fire, New York (Lancer), 1963.

Ovid, Metamorphoses, ed. Frank Justus Miller, 2 vols., London, 1916.

Paulson, Ivar, Die primitiven Seelenvorstellungen der nordeurasischen Völker, Stockholm, 1958.





-----, Åke Hultkrantz and Karl Jettmar, Die Religionen Nordeurasians und der amerikanischen Arktis, Stuttgart, 1962.

Pausanias's Description of Greece, trans. Sir James George Frazer, 6 vols., London, 1913.

Poe, Edgar Allan, The Works of the Late Edgar Allan Poe, ed. N. P. Willis, 4 vols., New York (Redfield), 1858.

Poritzky, J. E., "Das Doppelgängermotiv," Literarisches Echo, XXXI (1928/29), 508-11.

Potter, Edith L., Pathology of the Fetus and Infant, Chicago, 1961.

Pynchon, Thomas, V., Montreal (Bantam), 1963.

Rank, Otto, Der Doppelgänger. Eine Psychoanalytische Studie, Leipzig, 1925.

-----, Das Inzest-Motiv in Sage und Dichtung, Leipzig, 1926.

Ranke, Kurt, Die zwei Brüder. Eine Studie zur vergleichenden Mythenforschung, FF Communications, Vol. XLIV, No. 114, Helsinki, 1934.

Das mittelhochdeutsche Gedicht vom Fuchs Reinhart, ed. Ingeborg Schröbler, second edition, Halle, Saale, 1952.

Richter, Johann Paul Friedrich, Jean Pauls sämtliche Werke, ed. Eduard Behrend, Abteilung I, 19 vols., Weimar, 1927-44.

Röbel, Paul, Über den Begriff des Doppelgängers und verwandter seelischer Spaltungserscheinungen, Med. Diss., Erlangen, 1949.

Roheim, Géza, Spiegelzauber, Leipzig, 1919.

Saddle the Wind, screenplay by Rod Sterling, directed by Robert Parrish, produced by Armand Deutsch for Metro-Goldwyn-Mayer, 1958.

Schwab, Gustav, Die schönsten Sagen des klassischen Altertums, fourth edition, Wien, 1951.





Schumann, Valentin, Valentin Schumanns Nachtbüchlein, ed. Johannes Bolte, Tübingen, 1893.

Sewell, Elizabeth, Paul Valéry, The Mind in the Mirror, Cambridge, 1952.

Shakespeare, William, A New Variorum Edition of Shakespeare, 25 vols., Philadelphia, 1899-1955.

Shields, James, Monozygotic Twins brought up apart and brought up together, London, 1962.

Sollier, Paul, Les phénomènes d'autoscopie, Paris, 1913.

Stephan, Gert, ". . . und vor mir lag--ich selbst!" Wochenend, XIII (July 1963), No. 28, p. 18.

Stevenson, Robert Louis, Dr. Jekyll and Mr. Hyde, London (Everyman), 1961.

Stocker, Alois, Le double. L'homme à la rencontre de soi-même, Genève, 1946.

Stories of the Double, ed. Albert J. Guerard, Philadelphia, 1967.

Der Student von Prag, screenplay by Paul Wegener and Hanns Heinz Ewers, 1913.

Thompson, C. J. S., The Mystery and Lore of Monsters, London, 1930.

Thompson, Stith, Motif-Index of Folk Literature, 6 vols., Bloomington, 1957.

Tymms, Ralph, Doubles in Literary Psychology, Cambridge, 1949.

Unamuno, Miguel de, Abel Sanchez and Other Stories, trans. Anthony Kerrigan, Chicago, 1956.

-----, Obras completas, 7 vols., Madrid, 1967.





Valéry, Paul, Oeuvres, ed. Jean Hytier, Paris, 1957.

Varnhagen, Hermann, Ein indisches Märchen auf seiner Wanderung durch die asiatischen und europäischen Litteraturen, Berlin, 1882.

Vooy's, C. G. N. de, Middel-nederlandse Marialegenden, Leiden, 1921 (?).

Wain, Marianne, "The Double in Romantic Narrative: A Preliminary Study," Germanic Review, XXXVI (1961), 257-68.

Werfel, Franz, Spiegelmensch. Magische Trilogie, München, 1920.

Wigalois von Wirnt von Gravenberg, ed. G. Fr. Benecke, Berlin, 1819.

Wilde, Oscar, The Picture of Dorian Gray, Harmondsworth, 1961.





## SUPPLEMENTARY BIBLIOGRAPHY

### a. Dictionaries

Altdeutsches Wörterbuch, ed. Oskar Schade, Halle, 1882.

Altfranzösisches Wörterbuch, ed. A. Tobler and E. Lommatzsch, 7 vols., Wiesbaden, 1925-.

Deutsches Wörterbuch, ed. Jakob and Wilhelm Grimm et al., 16 vols., Leipzig, 1854-1954.

Dictionnaire alphabétique et analogique de la langue française, ed. Paul Robert, 6 vols., Paris, 1953-64.

A Greek-English Lexicon, ed. Henry George Liddell and Robert Scott, seventh edition, Oxford, 1901.

Harrap's Standard French and English Dictionary, ed. J. E. Mansion, London, 1934.

Juret, A., Dictionnaire étymologique grec et latin, Straßbourg, 1942.

The Oxford English Dictionary, ed. J. A. H. Murray, H. Bradley et al., 13 vols., Oxford, 1961.

Russian-English Dictionary, ed. V. K. Müller, New York, 1944.

Русско-Английский Словарь, ed. A. J. Smirnitsky, Moscow, 1961.





b. General Criticism and Theory of Literature

Auerbach, Erich, Mimesis. Dargestellte Wirklichkeit in der abendländischen Literatur, third edition, München, 1964.

Burke, Kenneth, A Rhetoric of Motives, New York, 1950.

Frye, Northrop, Anatomy of Criticism, Princeton, 1957.

Ingarden, Roman, Das literarische Kunstwerk, second edition, Tübingen, 1960.

McLuhan, Marshall, Understanding Media, Toronto, 1964.

Peckham, Morse, Beyond the Tragic Vision, New York, 1962.

c. Literature on specific problems in doubleganger

Bartholomae, Ulf, Die Doppelpersönlichkeit im Drama der Moderne, Diss., Erlangen-Nürnberg, 1967.

Berger, Hildegard, Manisch-depressive Psychosen bei eineiigen Zwillingen, Med. Diss., München, 1964.

Bolte, J., "Der zerstückte Spiegel," Euphorion, XVI (1909), 783-5.

Bouvier, M., Le syndrome "Illusions des Sosies", Thèse, Paris, 1926.





Bufkin, E. C., "Pattern of Parallel and Double: the Function of Myrtle in The Great Gatsby," Modern Fiction Studies, XV (1969-70), 517-24.

Chizhevsky, Dmitri, "The Theme of the Double in Dostoevsky," Dostoevsky. A collection of Critical Essays, ed. René Wellek, Englewood Cliffs, 1962, pp. 112-129.

Eigner, E. M., The Double in the Fiction of Robert Louis Stevenson, Diss., State University of Iowa, 1963.

Die Fragmente der griechischen Historiker, ed. Felix Jacoby, 10 vols., Leiden, 1957-.

Greve, S., "Narkissos," Ausführliches Lexikon der griechischen und römischen Mythologie, ed. W. H. Roscher, 6 vols., Leipzig, 1884-, Vol. III, pp. 11-22.

Hackel, J., "Die Vorstellung vom zweiten Ich in den amerikanischen Hochkulturen," Kultur und Sprache, IX (1952), 124-188.

Hartwig, T., "Der isolierte Charakter. Zu Dostojewskis Doppelgänger," Wiener Rundschau, III (1899), 218-34.

Hilfiker, K., Die schizophrene Ich-Auflösung im All, Diss., Zürich, 1927.

Jung, C. G., Die Beziehungen zwischen dem Ich und dem Unbewußten, Darmstadt, 1928.

Kraus, A., "Das Doppelgängermotiv bei E. T. A. Hoffmann," Jahresbericht der Staatsoberrealschule in Trautensau (1914-15), No. 41 and 42.

Krauss, F. S., "Der Doppelgängeraberglaube im alten Ägypten und bei den Südslaven," Imago, VI (1920), 387-92.

Kunze, W., "Studien zum Problem des Doppelgängers," Oesterreichische Blätter für freies Geistesleben, VI (1929), 33-47.





- Lane, L. jr., "The Double in An American Tragedy," Modern Fiction Studies, XII (1966), 213-20.
- Langen, A., "Zur Geschichte des Spiegelsymbols in der deutschen Dichtung," Germanisch-Romanische Monatsschrift, XXVIII (1940), 269-80.
- Larkens, H., Kein Doppelgänger-Ich, Salzburg, 1947.
- Louria, Y., "Dédoublement in Dostoevsky and Camus," Modern Language Review LVI (1961), 82-3.
- Louthan, Vincent A., Spenser's Double: The Dark Conceit of Reality in The Faerie Queene, Diss., University of Connecticut, 1969.
- Nadelhaft, Ruth L., Character Doubles in the Works of Joseph Conrad, Diss., University of Wisconsin, 1970.
- Manning, C. A., "The Double of Dostoevsky," Modern Language Notes, LIX (1944), 317-21.
- Menninger-Lerchenthal, E., Der eigene Doppelgänger, Bern, 1946.
- , Das Truggebilde der eigenen Gestalt, Abhandlungen aus der Neurologie, Psychiatrie, Psychologie und ihren Grenzgebieten, No. 74, Berlin, 1935.
- Müller-Erzbach, I., Zur Psychologie und Psychopathologie der Doppelerscheinungen, Med. Diss., München, 1951.
- Petzold, Klaus, Ein Beitrag zur Klinik des konformen Wahnes. Untersuchung einer Doppelpsychose bei Geschwistern, Med. Diss., München, 1964.
- du Prel, C., "Der Doppelgänger," Sphinx, Monatsschrift der übersinnlichen Weltanschauung, II (1886), 1-7, 86-96, 230-41, 370-9.
- Ranald, M. L., and R. A. Ranald, "Shelley's Magus Zoroaster and the image of the Doppelgänger," Modern Language Notes, LXXVI (1961), 7-12.





- Reber, N., Studien zum Motiv des Doppelgängers bei Dostojewskij und E. T. A. Hoffmann, Gießen, 1964.
- Rochholz, F., "Ohne Schatten, ohne Seele. Der Mythos vom Körperschatten und vom Schattengeist," Deutscher Glaube und Brauch, I (1867), 59-130.
- Roehl, M., Die Doppelpersönlichkeit bei E. T. A. Hoffmann, Diss., Rostock, 1918.
- Rosenfield, Claire, "Despair and the Lust for Immortality," Wisconsin Studies in Contemporary Literature, VIII (1967), 174-92.
- , "The Shadow Within: The Conscious and Unconscious Use of the Double," Stories of the Double, ed. Albert J. Guerard, Philadelphia, 1967.
- Schleich, C., Wiederkehrende Typen bei Dostojewski, Diss., München, 1922.
- Schneider, J. B., "Das Geschwisterproblem," Geschlecht und Gesellschaft, VIII (1913), 381-411.
- Schreck-Notzing, K., Über die Spaltung der Persönlichkeit, Wien, 1896.
- Ulfers, F., Untersuchungen zum Doppelgängermotiv in der deutschen Literatur des 20. Jahrhunderts, Diss., New York, 1968.
- Wentersdorf, K. P., "Mirror-images in Great Expectations," Nineteenth Century Fiction, XII (1966), 213-20.
- Wieseler, R., Narkissos, Göttingen, 1856.
- Wiggins, R. A., "The Original of Mark Twain's Those Extraordinary Twins," American Literature, XXIII (1951), 355-7.







**B30004**